

CHAPTER 3

Unified Planning Work Program

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3.1 PURPOSE

This chapter provides guidance to the Districts and Central Office units of the Department to assist Metropolitan Planning Organizations (MPOs) in the development, implementation, and financial management of funds of the Unified Planning Work Program (UPWP). The UPWP provides a biennial planning work program that identifies the transportation planning budget and activities to be undertaken in the metropolitan area. The UPWP includes tasks for two (2) state fiscal years and the MPO adopts a new UPWP every other year. Funding for the UPWP is provided by federal fiscal year.

3.2 AUTHORITY

This section lists the federal and state statutes, regulations, and rules related to the development of the UPWP document for MPOs.

Reference Citation	Description
Planning and Research Program Administration	
23 C.F.R. § 420	Describes the policies and procedures for the administration of activities undertaken by State departments of transportation (State DOTs) and their sub-recipients, including metropolitan planning organizations (MPOs), with FHWA planning and research funds
<i>Unified Planning Work Programs</i>	
23 C.F.R. § 450.308	Describes the funding for transportation planning and the development of unified planning work programs (UPWP)
<i>Metropolitan Transportation Planning</i>	
23 U.S.C. § 134	Describes the transportation planning process for metropolitan planning organizations (MPOs)
<i>Statewide Planning</i>	
23 U.S.C. § 135	Describes the transportation planning process for State departments of transportation (State DOTs)
<i>Efficient Environmental Reviews for Policy Decision Making</i>	
23 U.S.C. § 139	Describes the environmental review process for transportation projects
<i>Financial Management</i>	
31 U.S.C. Subtitle III	Describes the financial management of federal funds
<i>Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</i>	
2 C.F.R. § 200	Establishes uniform administrative requirements, cost principles, and audit requirements for Federal awards to non-Federal entities

Reference Citation	Description
<i>Program Guidance for Metropolitan Planning and State Planning and Research Program Grants</i>	
Federal Transit Administration Circular 8100.1C	Program guidance and application instructions for applying for grants under the Metropolitan Planning Program (MPP) and the State Planning and Research Program (SPRP) authorized under 49 U.S.C. § 5305
<i>Florida Single Audit Act</i>	
215.97, F.S.	Establish uniform state audit requirements for state financial assistance provided by state agencies to non-state entities to carry out state projects
<i>Metropolitan Planning Organizations</i>	
339.175 (9), F.S.	Describes the transportation planning process for metropolitan planning organizations (MPOs) in Florida

[NOTE: The many due dates and deadlines noted in this chapter are driven largely by the Department's requirements for Work Program development under section [339.135, F.S.](#), federal requirements, and the variance of fiscal years between the state (July 1-June 30) and the federal government (October 1-September 30). These due dates and deadlines are intended to provide adequate and reasonable times for the development, review and approval of the UPWP and documents necessary to efficiently administer UPWP funds. The due dates and deadlines represent current practice and have been arrived at through a consensus between the Department, Federal Highway Administration (FHWA), Federal Transit Administration (FTA), and the MPOs, and is consistent with the continuing, cooperative and comprehensive metropolitan planning process mandated by [23 U.S.C. 134\(c\)\(3\)](#)].

3.3 REFERENCES

This section provides a list of references & definitions from federal and state laws, rules, and regulations, including key procedures and forms related to the development of the UPWP.

Reference	Description
<i>Federal Office of Management and Budget</i>	
Form SF-LLL	Disclosure of Lobbying Activities Form
<i>Federal Office of Management and Budget</i>	
2 C.F.R. §200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

Reference	Description
<i>FDOT Forms and Procedures</i>	
Form No. 525-010-02	Metropolitan Planning Organization (MPO) Agreement
Form No. 725-030-06	Public Transportation Joint Participation Agreement
Form No. 725-030-06E	Public Transportation Joint Participation Agreement, Exhibits
FDOT Procedure No. 725-000-005	Public Transportation Joint Participation Agreement
<i>FDOT Work Program Instructions</i>	
FDOT Work Program Instructions	Describes the procedures for the development of FDOT's annual 5-year Work Program
<i>Metropolitan Transportation Planning</i>	
23 U.S.C. §134	Describes the transportation planning process for metropolitan planning organizations (MPOs)
<i>Metropolitan Transportation Planning</i>	
49 U.S.C. §5303	Describes the transportation planning process for metropolitan planning organizations (MPOs) – companion to 23 U.S.C. § 134
<i>Grants & Agreements</i>	
49 U.S.C. §5305	Planning Programs - Establishes that the USDOT may award grants to States, authorities of the States, metropolitan planning organizations, and local governmental authorities and make agreements to develop transportation plans and programs; plan, engineer, design, and evaluate a public transportation project; and conduct technical studies relating to public transportation
49 U.S.C. §5307	Urbanized Area Formula Grants - Establishes that the USDOT may award grants for: capital projects, planning, job access and reverse commute projects, and operating costs of equipment and facilities for use in public transportation in urbanized areas with a population of fewer than 200,000 individuals
<i>Nondiscrimination</i>	
Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§2000d-2000d-7)	Prohibition against exclusion from participation in, denial of benefits of, and discrimination under federally assisted programs on ground of race, color, or national origin
23 U.S.C. §324	Prohibition against discrimination on the basis of sex
29 U.S.C. §794	Nondiscrimination under Federal grants and programs

3.4 SCOPE

The Code of Federal Regulations defines a Unified Planning Work Program (UPWP) as “a statement of work identifying the planning priorities and activities to be carried out within a metropolitan planning area. At a minimum, a UPWP includes a description of the planning work and resulting products, who will perform the work, time frames for completing the work, the cost of the work, and the source(s) of funds” [[23 C.F.R. 450.104](#)]. This chapter is to be used by the Department and MPOs as a guideline in the development, review, and administration of the UPWP. In addition, this chapter is to be used to guide the Department and MPOs in the management of the grant funding that funds the UPWP.

3.5 TENTATIVE WORK PROGRAM DEVELOPMENT

Each year in late summer, the Department begins a new Tentative Work Program cycle in order to program funds for the state fiscal year beginning the following July 1. Available federal funds are determined by apportionments from the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA). These funds are distributed according to the approved distribution formulas. The distribution of these funds can be found in the Program Allocation Guide of the Department’s [Work Program Instructions](#). Available state funds are distributed by formula to each District and are referred to in the *Work Program Instructions* as “targets.” The Department’s current *Work Program Instructions* are the source for detailed information on authorizations, targets and the appropriate use of each fund type.

3.6 UPWP FUNDING

UPWPs are funded primarily with Federal Highway Administration (FHWA) Metropolitan Planning (PL) funds and Federal Transit Administration (FTA) 5305(d) funds, both of which are apportioned to states for the purpose of metropolitan transportation planning. An MPO may use other eligible funds for their UPWP, provided the federal and state requirements and guidelines for eligibility of the use of these funds are met. Generally, additional federal funds used for metropolitan planning purposes includes Surface Transportation Program (STP) funds and FTA 5307 funds. In addition, an MPO may receive additional federal funds for metropolitan transportation planning, such as Congestion Mitigation & Air Quality (CMAQ) funds, Transportation Alternatives (TA) funds, or discretionary grants, such as the U.S. Department of Transportation’s Transportation Investment Generating Economic Recovery (TIGER) program.

UPWPs may also be funded by funds from the Florida Commission on the Transportation Disadvantaged (TD) and Local funds. State (D) funds may be used only to provide the state match for federal funds (such as FTA funds or one-time grants that require a state/local match) or with MPOs for a vendor relationship. **Figure 3A** illustrates the types of funds included in a UPWP.

Figure 3A – UPWP Funds

Metropolitan Planning (PL) Funds	FHWA Metropolitan Planning (PL) funds are provided for in each Surface Transportation Act, the most recent being Fixing America's Surface Transportation (FAST) Act. The distribution of PL funds is accomplished through a formula developed by the FDOT in consultation with the MPOs and must be approved by the FHWA (23 C.F.R. §420.109(a).
Federal Transit Administration (FTA) Funds	Federal Transit Administration (FTA) funds are secured annually through the FTA Metropolitan Planning Program, Section 5303. An MPO may also elect to use Section 5307 funds for planning purposes in the UPWP. Both of these funds, when used for planning purposes, must be shown in the UPWP.
Surface Transportation Block Grant Program (STP) Funds	STP Urban Funds are available to MPOs designated as Transportation Management Areas (TMAs) to be used for planning purposes. The MPO, in consultation with the District, may choose how to use SU funds.
Additional FHWA Program Funds	MPOs may receive additional FHWA program funds for the purpose of metropolitan transportation planning. These funds must be reflected on the relevant tasks in the UPWP.
Local Funds	Local funds are required as a match for FTA funds and may be used to meet a project costs for other Federal funds.
State Funds	The use of State Funds (D) is described in the Work Program Instructions. State funds are used as a non-federal match for FTA funds.
Matching Funds	In order to secure FTA funds, the state and/or local government must place matching funds on a project. The state and local funds used as a match must be shown in the Department's Work Program.

3.6.1 METROPOLITAN PLANNING (PL) FUNDS

FHWA Metropolitan Planning (PL) funds are provided for in each federal Surface Transportation Act, the most recent being the Fixing America's Surface Transportation (FAST) Act. PL funds are to be used to carry out the metropolitan transportation planning process as described in 23 USC §134. As such, PL funds have a wide range of uses; however, the use of these funds by the MPO must be for allowable, necessary, and reasonable

purposes, as described in both federal and state requirements. It is the responsibility of the MPO Liaison to ensure that the MPO is using PL funds in accordance with federal and state requirements.

The distribution of PL funds is accomplished through a formula developed by the FDOT in consultation with the MPOs and that must be approved by FHWA [[23 C.F.R. 420.109\(a\)](#)]. In developing the formula for the distribution of PL funds, various factors must be considered including population, status of planning, attainment of air quality standards, and metropolitan area transportation needs [[23 C.F.R. 420.109\(b\)](#)]. The formula is updated as needed, such as when there are significant changes in federal law. MPOs should contact the Department's Work Program Development Office (or their respective District Liaison) for information regarding the current formula.

The MPOs available PL balance for a given year includes the following:

1. The amount of new PL funds allocated by formula;
2. The carry forward funds that have not been obligated/used in the prior years;
3. The de-obligated funds from the prior UPWP; and
4. The close-out funds from the prior UPWP.

The amount of new PL funds for the upcoming fiscal year and the four succeeding years appears in the Department's [Work Program Instructions](#) under Schedule A. Each District is responsible for programming the Schedule A amount of funds in the Tentative Work Program.

The Department's Work Program Development Office in Central Office is responsible for applying the PL distribution formula to the annual PL allocation and for tracking the available PL balance for each MPO. The Program Development Office provides the Districts with a PL funds tracking report, referred to as the Check PL spreadsheet. It is extremely important that the MPO & MPO Liaison regularly review the Check PL spreadsheet to have the most current information regarding the MPO's available PL balance.

Currently, the state provides the required match to secure PL and all FHWA program funds with toll credits (soft match), as per the Work Program Instructions, eliminating the need for an MPO to provide a local match. Toll credits are not actual dollars that can be expended, and toll credits do not appear in the Work Program. However, the MPO needs to show the amount of toll credits that are used to match all FHWA program funds in the UPWP. More information on representing soft match in the UPWP can be found in Section 3.11.

3.6.2 FEDERAL TRANSIT ADMINISTRATION FUNDS

49 USC §5303 establishes the Federal Transit Administration (FTA) Section 5303 grant to support metropolitan transportation planning. These funds are apportioned to the MPOs in accordance with the rules established in 49 USC §5305(d). In addition to Section 5303/5305(d) funds, an MPO may also elect to use FTA Section 5307 grant funding for planning purposes.

Both of these funds, when used by the MPO for planning purposes, must be shown in the UPWP. FTA funds require a 20% non-federal match, made up of 10% State funds and 10% Local funds. The specific requirements for these funds are outlined in [Form No. 725-030-06](#), Public Transportation Joint Participation Agreement and [Form No. 725-030-06E](#), Exhibits, and in Department [Procedure 725-000-005](#): Public Transportation Joint Participation Agreement.

3.6.3 SURFACE TRANSPORTATION BLOCK GRANT PROGRAM FUNDS

The Surface Transportation Block Grant Program (STP) is a federal-aid highway flexible funding program that funds a broad range of surface transportation capital needs including roads, transit, sea and airport access, vanpool, and bicycle and pedestrian facilities. STP funds are allocated based on population. STP Urban (SU) funds are allocated specifically to TMA urbanized areas based on population. See Part IV Chapter 1 of the Department's Work Program Instructions for more information regarding the Surface Transportation Block Grant Program.

As per 23 USC §133, "surface transportation planning" is also an eligible use of STP funds. The decision to provide the MPO with STP funds for metropolitan planning purposes should be made in accordance with the guidelines in the Work Program Instructions, Part III Chapter 23. It is the responsibility of the MPO Liaison to ensure that the MPO is using STP funds in accordance with federal and state requirements.

If the MPO is provided STP funds for metropolitan transportation planning purposes, these funds must be shown in the UPWP. An amendment may be required to do so; information on amendment and modification thresholds can be found in Section 3.18 of this Chapter. These funds shall be programmed in a manner consistent with the instructions in Part III Chapter 23 of the Work Program Instructions.

In addition, if the MPO is given STP funds for planning purposes, these funds shall not be provided through the execution of a new JPA; rather, they should be captured through a

revision to the existing MPO Agreement. More information on the agreement process can be found in Section 3.9 of this Chapter.

The state provides 100 percent of the required match with toll credits (soft match). Toll credits are not actual dollars that can be expended, and toll credits do not appear in the Work Program. However, the MPO needs to show the amount of toll credits that are used to match SU funds in the UPWP (see Section 3.11).

3.6.4 ADDITIONAL FHWA PROGRAM FUNDS

MPO's may receive additional FHWA program funds from the Department for the purpose of metropolitan transportation planning, such as CMAQ funds, TA funds, or discretionary funds that the Department is responsible for administering. These funds must be reflected on the relevant tasks in the UPWP to ensure reimbursement to the MPO. An amendment may be required to add these to the UPWP. It is the responsibility of the MPO Liaison to ensure that the MPO is using any additional federal funds in accordance with federal and state requirements.

Any additional FHWA program funds provided to the MPO for the purpose of metropolitan transportation planning shall be captured in and administered through the MPO Agreement.

3.6.5 STATE FUNDS

The use of State funds, such as D, DDR, and DPTO, is described in the Work Program Instructions. State funds are to be provided to MPOs solely as a non-federal match for FTA or other federal grants. All federal and matching funds for metropolitan planning purposes, including state match, must be included in the UPWP.

As per guidance from the Office of Work Program & Budget, State (D) funds may not be provided to the MPO to assist with the carrying out of metropolitan transportation planning process, including the development and update of the Long Range Transportation Plan (LRTP), the Transportation Improvement Program (TIP), the Public Participation Plan (PPP), the UPWP, and the Congestion Management Process/Plan (CMP).

D funds may be provided to the MPO as a vendor to the Department, in the case where the MPO is performing a service on behalf of the Department. In these instances, a vendor agreement must be executed between the MPO and the Department. Any funds provided to

the MPO as a vendor the Department should be reflected in the UPWP as an **informational** item.

3.6.6 MATCHING FUNDS

Currently, the state provides 100 percent of the required match to secure FHWA funds, including PL and SU funds, with toll credits (soft match). Toll credits are not actual dollars that can be expended, and soft match credits do not appear in the Work Program. However, the MPO needs to show the amount of toll credits that are used to match the FHWA funds in the UPWP. Soft match values should not be reflected on the individual UPWP tasks; rather, the soft match amount should be described in the UPWP introduction and provided for in the UPWP summary budget tables (see Section 3.11).

In order to secure FTA funds, the state and/or local government must place matching funds on a project. The state and local funds used as match must be shown in the Department's **Work Program**. FTA provides 80% with a required 20% match from non-federal sources. The 20% match is 10% State funds and 10% Local funds.

3.6.7 LOCAL FUNDS

Any funds other than state or federal that are applied to the planning program are considered local funds. Local funds are required as a match for FTA funds and may be used to meet a project costs for other Federal funds. All federal and matching funds for metropolitan planning purposes, including local match, must be included in the UPWP.

3.8 ELIGIBILITY OF PROJECT EXPENDITURES

Federal and state laws and regulations govern the types of activities that are eligible for federal and state funding. In order for costs to be eligible for FDOT/FHWA participation, the costs must be:

1. For work performed for activities eligible under the section of Title 23 US Code;
2. Verifiable from the State DOT's or sub-recipient's (MPO's) records;
3. Necessary and reasonable for proper and efficient accomplishment of the project;
4. Included in the approved UPWP or amendment; and
5. Incurred subsequent to FHWA authorization.

MPO Liaisons are responsible for ensuring that costs incurred by the MPO meet the above requirements.

As stated above, FHWA funds must be used for work performed for activities eligible under the section of Title 23 US Code. The U.S. Code and the Department's Work Program Instructions should be consulted for information on eligible activities. MPO Liaisons are responsible for ensuring that all federal funds are for eligible activities.

FHWA has provided the following guidance related to the use of STP funds by MPOs: If the MPO staff are working on Surface Transportation Planning Program activities (23 USC 133(b)(10) – activities that support 23 USC 134, and STP funds are identified in the UPWP or the approved STIP to support these activities then STP funds can be used to support the staff salaries when they are working on those selected activities. The details of the task would need to be thoroughly documented in either the UPWP and/or a Task Scope of Services which outlines which activities will be paid utilizing PL funds and which with STP unless documented in the STIP.

In addition to ensuring that the activities being performed are eligible under the US Code, MPO Liaisons are responsible for ensuring that all of the costs are both necessary and reasonable for the proper and efficient accomplishment of the project.

MPO Liaisons have two resources available to them to assist with the review of specific costs. 2 CFR §200 Subpart E – Cost Principles further clarifies how to define whether a cost is “reasonable” in nature, and includes provisions for the allowability and unallowability of specific costs, such as costs related to conferences or memberships. In addition, MPO Liaisons should review the Florida Department of Financial Services (DFS) *Reference Guide for State Expenditures* for clarification on the state requirements related to costs. This reference guide provides guidance on all agreements being entered into by the state of Florida, and includes allowable/unallowable provisions for select cost items as well.

Sources available for more information on cost eligibility:

2 CFR §200 Subpart E – Cost Principles:

Provides some basic considerations to be taken into account when reviewing costs for allow ability; includes a definition of “reasonable costs”, as well as guidance on defining direct and indirect costs; also provides examples of select allowable and unallowable costs.

**Florida Department of Financial Services (DFS)
*Reference Guide for State Expenditures:***

Provides guidance to state agencies, such as FDOT, regarding requirements for disbursement of funds from the State Treasury; includes provisions for select examples of allowable and unallowable costs.

Both resources are linked to on the MPO Agreement & Invoicing page of the OPP website.

When the federal and state guidelines regarding cost allowability do not align, the **stricter** of the two shall prevail. For example, federal regulations allow for the use of federal funds for the purchase of refreshments (food and non-alcoholic beverage) associated with meetings; however, state guidelines, as described in the *DFS Reference Guide*, prohibit the expenditure of any funds from the state treasury on refreshments. Therefore, MPOs are not able to spend any FDOT-administered funds, including PL funds, on refreshments.

MPO Liaisons should note that in the instance where a specific cost in question is not adequately addressed in these sources, the FDOT *Disbursement Handbook* may be used to provide further clarification. The *Disbursement Handbook* similarly includes provisions for select items of cost, as applied to FDOT; however, these standards can generally be applied to the MPOs as well. MPO Liaisons or MPOs should contact the MPO Statewide Coordinator at FDOT Central Office for more information or for clarification on a cost eligibility.

3.8.1. EQUIPMENT PURCHASES USING FEDERAL FUNDS

FHWA will, on a case-by-case basis, allow MPOs to purchase equipment as a direct expense with federal funds. Equipment is defined as any tangible personal property having a useful life of more than one year and a per-unit acquisition cost of \$5,000 or more per unit [[2 CFR §200.33](#)]. All equipment purchases, regardless of cost, should be programmed and itemized in the UPWP; however, specific approval by the FHWA and the District is not required for equipment costs under \$5,000. All proposed equipment purchases must comply with [2 CFR §200.313](#) and [200.314](#), and 2 CFR §200 Subpart E Cost Principles.

The following information is required to obtain approval by the FHWA to purchase equipment with a cost of \$5,000 or greater. This information shall be provided from the MPO to the District MPO Liaison prior to the purchase of the equipment:

1. A list of the equipment to be purchased with its description and cost;
2. The specifications and/or a detailed description of the equipment;
3. Documentation that the MPO has performed a cost comparison between multiple sources for the equipment;
4. Justification for the purchase & the proposed purpose/use of each piece of equipment;
5. Reference to the equipment purchase in the UPWP.

District staff will review the MPO's proposed purchase acquisition and forward their recommendation to the FHWA. The FHWA will consider the MPO's equipment purchase proposal and provide an approval or denial. **The MPO must not procure any equipment with a cost of \$5,000 or greater prior to FHWA's approval.**

The FHWA and the Department further require the MPO to maintain property records for all property obtained through federal funding [[2 CFR §200.313\(d\)](#)]. A physical inventory of the property must be taken at least once every two years and the results reconciled with the MPO's property records. Property records for equipment must include:

1. Description of the property;
2. Serial or other identification number;
3. The source of funding for the property (including the FAIN);
4. Title owner;
5. Acquisition date;
6. Cost of the property;
7. Percentage of federal participation in the project costs for the federal award under which the property was acquired;
8. Location, use and condition of the property;
9. Disposition of the property, including the date of disposal and sale price (if applicable).

A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated. Disposal of equipment purchased with federal funds must be disposed of in accordance with state laws and procedures according to [2 CFR §200.313\(e\)](#).

3.8.2 INDIRECT COST RATE

Indirect costs are defined in 2 CFR §200.56 as “those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitting, without effort disproportionate to the results achieved.” Examples of indirect costs may include office space leases, printing, and mailing costs.

FDOT will accept one of four methods for reimbursing indirect costs for MPOs:

1. Federally Approved Indirect Cost Rate Agreement
2. Indirect Cost Rate Allocation Plan

3. 10% De Minimis Indirect Cost Rate
4. Actual costs incurred

Options 1-3 will result in the MPO using an indirect cost rate, be it a federally-approved rate, a rate derived from an indirect cost allocation plan and approved by FDOT, or the de Minimis rate of 10%. Upon establishment of a rate, the MPO should apply this rate to all of the direct costs for each task in the UPWP. For example, if a specific task is made up of \$100,000 in direct costs, which could include salaries, professional services, and other direct expenses for that task, and the MPO has an indirect rate of 15%, the task budget detail should reflect \$15,000 in indirect costs.

MPOs wishing to be reimbursed for indirect costs using a **federally approved** indirect cost rate agreement must submit this agreement to the Department for filing. The MPO must apply this rate across all tasks in the UPWP.

MPOs wishing to be reimbursed for the 10% De Minimis Indirect Cost Rate must submit to the Department a completed 10% De Minimis Certification form for review and approval. This form can be found on the Office of Policy Planning's MPO Agreement & Invoicing web page. Once approved, the MPO must apply the de Minimis rate across all tasks in the UPWP.

MPOs that do not have a federally approved indirect cost rate agreement and wish to be reimbursed for indirect costs at a rate greater than the 10% de Minimis must submit to the Department an Indirect Cost Allocation Plan that has been developed in accordance with 2 CFR §200 Appendix 7. This ICAP must be sent to the MPO's District Liaison, who shall forward it to the Statewide MPO Coordinator. This ICAP must be included as an appendix to the UPWP, and the rate must be applied across all the tasks in the UPWP.

MPOs that do not wish to be reimbursed at the De Minimis rate and do not have a state or federally approved indirect cost rate will charge all eligible costs as direct costs, and will be reimbursed for such. As opposed to MPOs charging a rate to cover indirect expenses, these MPOs will reflect all indirect expenses in the UPWP budget details. To reduce the burden of distributing these costs across the tasks in the UPWP and minimize UPWP amendments & modification, these MPOs are strongly advised to include all administrative and overhead costs in one task or set of tasks in the UPWP (see Section 3.11).

3.9 STANDARD MPO AGREEMENTS

Two standard agreement forms are available to be utilized by the MPO & District depending on the type of funding being provided to the MPO, FHWA program funds or FTA funds.

3.9.1 FHWA FUNDS - MPO AGREEMENT

The MPO Agreement is the standard contract between the MPO and the Department to undertake the FHWA-funded planning studies and activities listed in the UPWP. The MPO Agreement is a two-year document, for which the effective dates shall align with the UPWP. The standard MPO Agreement is [Form No. 525-010-02](#) and can be downloaded by the Liaison from the Forms section of the Department's [Intranet](#). NOTE: The Central Office General Counsel Office must review all proposed changes to the standard MPO Agreement.

The MPO Agreement captures all FHWA program funds listed in the UPWP, such as PL and SU, and acts as the basis for the administration for these funds. The MPO Agreement contains a body of standardized legal language and three Exhibits. The UPWP shall be attached to the MPO Agreement as Exhibit A, and acts as the Scope of Work for the agreement. In addition, the MPO Agreement includes an Exhibit B and C. Exhibit B, titled Federal Financial Assistance (Single Audit Act), shall include the federal award amount for the agreement, which is the two-year total for all FHWA program funds in the UPWP (PL, SU, etc.). Exhibit C, titled Title VI Assurances, includes the Title VI compliance requirements for the MPO and shall be included in any third-party agreements that the MPO enters into.

The MPO Agreement shall be executed every two years, in conjunction with the UPWP. The MPO should execute the agreement at the same time as it adopts the new UPWP, with the same effective dates.

Once the MPO Agreement is executed, a contract status change form must be submitted to the District Fiscal Office indicating that the MPO may now invoice the Department for the work performed as it relates to the tasks in the UPWP and/or Public Transportation JPA.

3.9.2 FEDERAL TRANSIT ADMINISTRATION FUNDS

Supplemental agreements for funds other than PL funds are handled in a manner similar to the execution of the original JPA. An additional scope of services will help determine if more funds are actually needed and whether a new expiration date is required. New supplemental agreements must be coordinated between the District and the MPO.

Requests to extend the expiration date of a JPA for funds other than PL funds must be submitted no less than 30 days prior to the expiration date to the FDOT District Liaison. Time extensions must be approved on or before the expiration date by the FDOT District Intermodal System Development Manager. The time extension request should include the Financial Management System number (FM #), the date the contract was signed, the original expiration date, the requested new expiration date, and a justification for the

extension. **If the current date passes without an approved extension, the JPA will expire, no extension can be granted, and no reimbursements can occur until the execution of a new JPA can be approved.**

3.9.3 TRANSPORTATION DISADVANTAGED PROGRAM FUNDS

Additionally, MPOs may receive state Transportation Disadvantaged (TD) grant funding from the Florida Commission for the Transportation Disadvantaged(CTD), an entity created within FDOT but which functions independently of the Department. These funds are administered to the MPO through the use of a CTD Joint Participation Agreement.

3.10 THIRD PARTY AGREEMENTS

Third party agreements occur when the MPO enters into an agreement with a party other than the Department to perform UPWP work activities. Consultant contracts shall be in accordance with the applicable state and federal requirements outlined in the MPO Agreement, [Form No. 525-010-02](#).

PL funds cannot be advanced and are distributed on a reimbursable basis only. In order for MPOs to reimburse a third party, an agreement will be required to incorporate the terms and conditions of MPO funding and interlocal agreements. Prior to execution, a draft scope of work and the consultant contract agreement shall be reviewed within the consultative process by the Department and the FHWA. The scope of work shall reference the task number within the UPWP where the funds are identified. Approval of requests for disbursements from third party agreements shall be contingent upon submittal of satisfactory backup and supporting material, including progress reports and technical reports. This requirement shall be clearly stated in the agreement.

3.11 UPWP CONTENT AND FORMAT

The proposed use of FHWA planning funds must be documented in a biennial UPWP that is acceptable to the FHWA. If STP funds are used for planning purposes, they must be identified separately from the PL funds [[23 CFR 420.119\(e\)](#)]. The UPWP shall include a description of the work to be accomplished and the cost estimates for each activity [[23 C.F.R. 420.111\(b\)](#)]. The cost estimates must be broken out by fiscal year. An example UPWP task is shown in **Figure 3D**.

MPOs are encouraged (and MPOs in TMAs are **required**) to include cost estimates for transportation planning, research, development, and technology transfer-related activities funded with local, state, or federal funds other than those authorized under Title 23 [[23 C.F.R. 420.111\(e\)](#)]. This information can be included as a task or a separate list, and could be obtained through the MPO's Technical Advisory Committee. The following information should be provided for each planning study:

1. Name of the study and a short description of work to be accomplished;
2. The cost, or the approximate cost, of the study;
3. The source(s) of funding used to pay for the study; and
4. The lead agency that is conducting the study.

For Districtwide studies listed in the State Planning Research (SPR) report, the MPOs should include studies if they are specific to the MPO's location. For example, a districtwide traffic collection effort is not corridor or location specific and does not need to be included in the UPWP.

A modification can be done to the UPWP to add these additional planning studies not carried out by the MPO (see Section 3.18). PD&E studies are not considered planning studies and are contained in the TIP/STIPs of the MPOs.

Figure 3B is an example of a matrix you could use to record these additional planning activities in the MPO area:

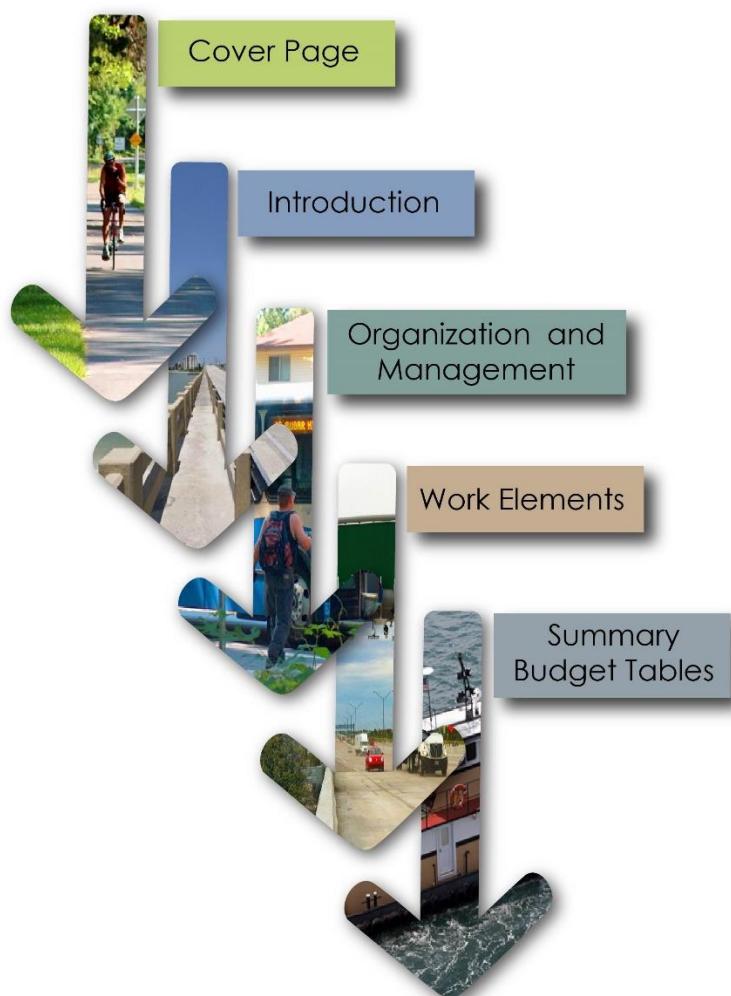
Figure 3B – Planning Studies in MPO Areas

Planning Studies Example				
Name and Study Description	Lead Agency	Fiscal Year	Cost (in \$000)	Source of Funds
SR 42/Briarcliff Road Corridor Study- Study includes traffic analysis, review of operations conditions on the corridor from Clifton Road to Druid Road	Nassau County	2012	850	Local
Lehigh Valley Bus Rapid Transit Analysis-Determine feasibility of bus rapid transit lanes on US 41 from Lehigh Ave. to Belmont Ave.	Lehigh Transit	2013	360	FTA-Section 5303

If a MPO is transferring STP funds to an agency/local government to be used for a planning study this would need to be reflected as a **task** in the UPWP.

The general format and content for UPWP development, as outlined below, is acceptable to FHWA and FTA. Other formats may also be acceptable provided they meet all federal requirements and provide the information listed in the next several sections. The UPWP must include a Cover Page and an Introduction. It is recommended that at least three (3) sections be used, including Organization and Management, Work Elements, and Summary Budget Tables. **Figure 3C** illustrates a general list of items that need to be included in a UPWP.

Figure 3C – UPWP Content



3.11.1 COVER PAGE

The Cover Page **must** include:

1. Name of the MPO;

2. Catalog of Federal Domestic Assistance (CFDA) Number;
3. Identification of agencies providing funds for the UPWP;
4. Federal Aid Identification Number (FAIN);
5. Financial Project (FPN) Number (this is the FM number);
6. State fiscal years the UPWP covers; and
7. MPO website address and other contact information including mailing address, telephone and fax numbers.

Following the Cover Page and prior to the Introduction, the UPWP must include a Cost Analysis Certification Statement which is signed by the MPO Liaison to attest to the allowability, reasonableness, and necessity of the costs presented in the UPWP. This statement must be segregated on a page separate from all other narrative, and must reflect the following statement:

COST ANALYSIS CERTIFICATION AS REQUIRED BY SECTION 216.3475, FLORIDA STATUTES:

I certify that the cost for each line item budget category has been evaluated and determined to be allowable, reasonable, and necessary as required by Section 216.3475, F.S. Documentation is on file evidencing the methodology used and the conclusions reached.

District MPO Liaison (Grant Manager) Name

Signature

Date

This certification statement is a state statutory requirement enforced by the State of Florida Department of Financial Services. Signature by the MPO Liaison indicates the completion of a cost analysis on the costs presented in the UPWP, as required by state statute. This statement is to be signed by the MPO Liaison at the following points:

1. Following adoption of the UPWP and prior to execution of the MPO Agreement;
2. Following MPO Board action amending the UPWP; and
3. Following all UPWP modifications.

Therefore, the date on this statement should always align with the last action taken on the UPWP. MPOs and MPO Liaisons are responsible for maintaining records related to all actions taken on the UPWP, including completed cost analyses.

3.11.2 INTRODUCTION

The Introduction section must include:

1. A brief definition of the UPWP;
2. A current overview of the status of comprehensive transportation planning activities;
3. A discussion of the planning priorities for the metropolitan planning area and should identify the local priorities. For example, if a metropolitan planning area is experiencing a significant rate of growth, appropriate planning priorities should be identified to address increased development, traffic volumes, and planning for the area's future transportation system;
4. A description of the metropolitan transportation and transportation related air quality planning activities (if applicable) anticipated in the non-attainment area regardless of funding sources or agencies conducting air quality activities;
5. Planning tasks to be performed with funds under [Title 23, U.S.C](#) and [49 U.S.C. §53](#);
6. A discussion and definition of "soft match" and the amount (both as a total and the percent) of the "soft match" for the federal funds in the UPWP;
7. The MPO's federally approved indirect cost rate (if applicable);
8. A description of the public participation process used in the development of the UPWP;
9. Federal Planning Factors
10. Any State Planning Emphasis Areas and/or any Federal Planning Emphasis Areas that have been identified.

As discussed, the Introduction section of the UPWP must contain a narrative and definition of "soft match", including the amount being "soft matched" to the FHWA funds in the UPWP. MPO's are encouraged to include the following language in the UPWP introduction:

Section 120 of Title 23, U.S.C., permits a state to use certain toll revenue expenditures as a credit toward the non-federal matching share of all programs authorized by Title 23, (with the exception of Emergency Relief Programs) and for transit programs authorized by Chapter 53 of Title 49, U.S.C. This is in essence a "soft-match" provision that allows the federal share to be increased up to 100% to the extent credits are available. The "soft match" amount being utilized to match the FHWA funding in the UPWP is ____% of FHWA program funds for a total of \$_____.

3.11.3 ORGANIZATION AND MANAGEMENT

The Organization and Management section consists of a narrative that discusses the following:

1. Identification of participants and a brief description of their respective role(s) in the UPWP metropolitan area transportation planning process;
2. Discussion of appropriate MPO agreements;
3. Identification and discussion of operational procedures and bylaws;
4. Any required forms, certifications, and assurances; and
5. A matrix that identifies how each task relates to the state planning emphasis areas and /or federal planning emphasis areas, if applicable.

3.11.4 UPWP WORK ELEMENTS

The Work Elements Section consists of descriptions of the major work products and tasks the MPO proposes to undertake. It is not intended for the examples listed here to be an all-inclusive list or that the work element sections be named exactly as shown below.

1. Administration - The administration section describes task functions required to manage the transportation planning process on a continual basis including program administration, development, review and reporting, anticipated staff development and an annual single audit. **For ease of budgeting, fund encumbering, and invoicing, MPOs are highly recommended to include all administrative costs for the entire UPWP in one administrative task (or group of subtasks).** See Figures 3D through 3G for examples of UPWP tasks.
2. Data Collection - This section includes work tasks needed to monitor area travel characteristics and factors affecting travel such as socioeconomic, community and land use data, transportation system data, natural, physical, and human environmental concerns and issues.
3. Transportation Improvement Program (TIP) - Tasks required for the development and management of the TIP.
4. Long-Range Transportation Plan (LRTP) - This section addresses the planned actions to be taken in this UPWP for developing the LRTP.
5. Special Project Planning - This section is intended for non-recurring planning projects and/or projects that do not fit easily into other categories. If there is a need to address a Federal TMA or FDOT certification finding as a task, this could be addressed here.

6. Public Participation - This section describes the tasks necessary to implement the MPO's public participation program during the development of the UPWP, LRTP, TIP, and other plans and programs as required.
7. Systems Planning - Recurring planning studies/projects, be they transit, bike/pedestrian, Transportation Demand Management, or transportation disadvantaged planning, should be included in this section.

Additional work elements related to transit, energy, short-range transportation planning including Congestion Management Process, Transportation Disadvantaged (TD), intermodal/multimodal planning, Intelligent Transportation Systems (ITS), and air quality planning shall be included when applicable.

3.11.5 TASK SHEETS

[23 C.F.R. 450.308 \(c\)](#) requires the UPWP to identify the work proposed for the next 1 to 2 years by major activity and task; in sufficient detail to indicate who will perform the work; the schedule for completing the work; the resulting products; the proposed funding by activity/task; and a summary of the total amounts and sources of Federal and the non-Federal match when using FTA funds. If a MPO uses local funds to supplement STP or match PL funds, the local contribution must be shown. Each task in the UPWP is to be identified under an individual task sheet that includes the following items:

1. Task number and title;
2. Purpose;
3. Previous work completed;
4. Required Activities
 - a. How task will be performed
 - b. Who will perform the task;
5. Responsible agency or agencies, i.e. who manages the contract (if being performed by a consultant);
6. A schedule that adequately describes the activities that will take place during the year(s) including:
 - a. A schedule of milestones or benchmarks to be used to measure progress;
 - b. End product(s); and
 - c. Estimated completion date(s); and
7. Proposed funding source(s) with anticipated costs by fiscal year and by budget line item (an *Estimated Budget Detail*).

An estimated budget detail is required for all tasks in the UPWP. Note that this estimated budget detail replaces the individual task budgets that were previously required.

Examples of the estimated budget details are presented in the below example tasks sheets. Estimated budget details shall include the detailed line item costs used to determine the costs for each task, and shall include the costs in the following budget categories:

- Personnel Services
- Consultant Services
- Travel
- Other Direct Expenses
- Indirect Expenses (only applicable to MPOs being reimbursed for indirect costs using an indirect rate)

As discussed above, the MPO Liaison shall perform a cost analysis on the content of each Estimated Budget Detail, ensuring that the costs are “allowable, reasonable, and necessary” for the completion of the tasks in the UPWP. Specific line items in each budget category on the Estimated Budget Detail must be detailed enough to allow the MPO Liaison to perform the cost analysis. Completion of the cost analysis is documented through signature of the MPO Liaison on the Cost Analysis Certification Statement near the front of the UPWP. The cost analysis must be performed following all actions on the UPWP by the MPO (i.e. adoption, amendment, and modification).

For ease of budgeting and invoicing purposes, MPOs are highly recommended to include all administrative costs for the UPWP on one Administration task or group of tasks. For MPOs charging all actual costs, this should make development of the estimated budget details significantly easier. If done properly, all administrative and overhead costs would be consolidated to one task (or group of tasks), and the remaining tasks in the UPWP would simply include the costs for personnel services, professional services, and travel.

Task sheets will reflect slightly different information depending on if the MPO is being reimbursed for an indirect rate or not. For MPOs charging an indirect rate, the indirect rate should be applied consistently to each individual task.

An example of a task sheet for an MPO charging all actual costs incurred is shown below in **Figure 3D**. An example of a task sheet for an MPO charging an indirect rate is shown below in **Figure 3E**. Please note that the indirect rates, budget line items, and costs presented in these examples are for **illustrative purposes** only. MPOs should align the content of the Estimated Budget Details with their existing accounting systems and budget.

Figure 3D – Sample Task Work Sheet for “Administration Task” - MPO Charging All Actual Costs

Task 1.1 Administration		
Purpose:		
To properly manage and carry out the continuous, cooperative, and comprehensive metropolitan transportation planning process for the MPO area.		
Previous Work Completed:		
Preparation and distribution of planning documents. Technical assistance and preparation of documents for MPO Board and committee meetings. Coordination with federal, state, and local partners. Preparation of contracts and agreements. Preparation of certification documents. Attendance at workshops and training sessions.		
Required Activities:		
<ul style="list-style-type: none"> • Technical assistance and staff support to MPO Policy Board and committees. • Preparation and distribution of MPO materials (agenda packages, meeting minutes, resolutions, plans, documents, etc). • Coordination with partner agencies, including FDOT, and provide staff support for joint meetings. • Preparation and participation in annual Joint State-MPO Certification and quadrennial TMA Certification. • Prepare and submit progress reports and invoices. • Review and update agreements and MPO administrative documents. • Maintain financial records and perform an annual single audit. • MPO staff and Board member travel and participation at general trainings, conferences, and meetings, including those of the MPOAC. • Selecting and managing consultant support. • Purchase of office supplies, postage, and equipment. 		
End Product:	Completion Date:	Responsible Agency: MPO
MPO Board and committee meetings	Monthly	
Joint State-MPO Certification	Jan. 2017; Jan. 2018	
Invoices and progress reports	Quarterly	
Annual single audit	Nov. 2016; Nov. 2017	
MPOAC & General meetings, workshops, trainings	As needed	
Maintenance of financial records	Ongoing	

(Figure continued on next page)

Figure 3D – Sample Task Work Sheet for “Administration Task” - MPO Charging All Actual Costs (continued)

Task 1.1. Administration Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Other Direct Expenses								
	Accounting/Auditing Services	\$14,800	-	\$1,960	-	-	-	\$16,760
	Staffing Services	\$16,274	-	\$3,000	-	-	-	\$19,274
	Attorney Services	\$14,800	-	\$1,960	-	-	-	\$16,760
	Office Building: Lease	\$9,712	-	\$2,424	-	-	-	\$12,136
	Office Building: Repair and Maintenance	\$1,594	-	\$398	-	-	-	\$1,992
	Office Building: Insurance	\$1,588	-	\$396	-	-	-	\$1,984
	Office Building: Utilities	\$1,588	-	\$396	-	-	-	\$1,984
	Office Equipment: Lease	\$1,588	-	\$396	-	-	-	\$1,984
	Communication Expenses	\$1,588	-	\$396	-	-	-	\$1,984
	Office Supplies	\$1,588	-	\$396	-	-	-	\$1,984
	Postage and Freight	\$1,588	-	\$396	-	-	-	\$1,984
	Printing and Binding Services	\$1,588	-	\$396	-	-	-	\$1,984
	Vehicle Allowance	\$2,556	-	\$512	-	-	-	\$3,068
	Books, Publications, Subscriptions, Memberships	\$1,588	-	\$396	-	-	-	\$1,984
	Subtotal:	\$72,440	-	\$13,422	-	-	-	\$85,862
	Total:	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000

(Figure continued on next page)

Figure 3D – Sample Task Work Sheet for “Administration Task” - MPO Charging All Actual Costs (continued)

Task 1.1. Administration Estimated Budget Detail for FY 2017/18								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Other Direct Expenses								
	Accounting/Auditing Services	\$14,800	-	\$1,960	-	-	-	\$16,760
	Staffing Services	\$16,274	-	\$3,000	-	-	-	\$19,274
	Attorney Services	\$14,800	-	\$1,960	-	-	-	\$16,760
	Office Building: Lease	\$9,712	-	\$2,424	-	-	-	\$12,136
	Office Building: Repair and Maintenance	\$1,594	-	\$398	-	-	-	\$1,992
	Office Building: Insurance	\$1,588	-	\$396	-	-	-	\$1,984
	Office Building: Utilities	\$1,588	-	\$396	-	-	-	\$1,984
	Office Equipment: Lease	\$1,588	-	\$396	-	-	-	\$1,984
	Communication Expenses	\$1,588	-	\$396	-	-	-	\$1,984
	Office Supplies	\$1,588	-	\$396	-	-	-	\$1,984
	Postage and Freight	\$1,588	-	\$396	-	-	-	\$1,984
	Printing and Binding Services	\$1,588	-	\$396	-	-	-	\$1,984
	Vehicle Allowance	\$2,556	-	\$512	-	-	-	\$3,068
	Books, Publications, Subscriptions, Memberships	\$1,588	-	\$396	-	-	-	\$1,984
	Subtotal:	\$72,440	-	\$13,422	-	-	-	\$85,862
	Total:	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000

Figure 3E – Sample Task Work Sheet for “Administration Task” - MPO Charging 25% Indirect Rate

Task 1.1 Administration		
Purpose:		
To properly manage and carry out the continuous, cooperative, and comprehensive metropolitan transportation planning process for the MPO area.		
Previous Work Completed:		
Preparation and distribution of planning documents. Technical assistance and preparation of documents for MPO Board and committee meetings. Coordination with federal, state, and local partners. Preparation of contracts and agreements. Preparation of certification documents. Attendance at workshops and training sessions.		
Required Activities:		
<ul style="list-style-type: none"> • Technical assistance and staff support to MPO Policy Board and committees. • Preparation and distribution of MPO materials (agenda packages & minutes, resolutions, plans, documents, etc). • Coordination with partner agencies, including FDOT, and provide staff support for joint meetings. • Preparation and participation in annual Joint State-MPO Certification and quadrennial TMA Certification. • Prepare and submit progress reports and invoices. • Review and update agreements and MPO administrative documents. • Maintain financial records and perform an annual single audit. • MPO staff and Board member travel and participation at general trainings, conferences, and meetings, including those of the MPOAC. • Selecting and managing consultant support. • Purchase of office supplies, postage, and equipment. 		
End Product:	Completion Date:	Responsible Agency: MPO
MPO Board and committee meetings	Monthly	
Joint State-MPO Certification	Jan. 2017; Jan. 2018	
Invoices and progress reports	Quarterly	
Annual single audit	Nov. 2016; Nov. 2017	
MPOAC & General meetings, workshops, trainings	As needed	
Maintenance of financial records	Ongoing	

(Figure continued on next page)

Figure 3E – Sample Task Work Sheet for “Administration Task” - MPO Charging 25% Indirect Rate (continued)

Task 1.1. Administration Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Other Direct Expenses								
	Other Direct Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
E. Indirect Expenses								
	25% Federally-approved Indirect cost rate	\$28,890	-	\$6,044.50	\$1,175	\$1,175	-	\$37,284.50
	Subtotal:	\$28,890	-	\$6,044.50	\$1,175	\$1,175	-	\$37,284.50
	Total:	\$144,450	-	\$30,222.50	\$5,875	\$5,875	-	\$186,422.50

(Figure continued on next page)

Figure 3E – Sample Task Work Sheet for “Administration Task” - MPO Charging 25% Indirect Rate (continued)

Task 1.1. Administration Estimated Budget Detail for FY 2017/18								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Other Direct Expenses								
	Other Direct Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
E. Indirect Expenses								
	25% Federally-approved Indirect cost rate	\$28,890	-	\$6,044.50	\$1,175	\$1,175	-	\$37,284.50
	Subtotal:	\$28,890	-	\$6,044.50	\$1,175	\$1,175	-	\$37,284.50
	Total:	\$144,450	-	\$30,222.50	\$5,875	\$5,875	-	\$186,422.50

Figure 3F – Sample Task Work Sheet for “Planning Task” - MPO Charging All Actual Costs

Task 4.1 Transportation Improvement Program (TIP) Development		
Purpose:		
To annually update the five-year Transportation Improvement Program (TIP) and amend as needed, consistent with federal and state requirements.		
Previous Work Completed:		
Development of the FY 15/16-19/20 TIP and FY 16/17-20/21 TIP, and all required amendments.		
Required Activities:		
<ul style="list-style-type: none"> • Annually develop, update and publish the TIP, a five-year program of transportation improvements in the MPO area, in accordance with federal and state requirements and the MPO's Public Participation Plan. • Perform amendments to the adopted TIP as necessary. • Utilize and maintain an interactive TIP tool. • Publish annual listing of previously obligated projects. 		
End Product:	Completion Date:	Responsible Agency: MPO
FY 2016/17 – 2021/22 TIP	Adoption in June 2016	
FY 2017/18 – 2022/23 TIP	Adoption in June 2017	
TIP Amendments	As needed	

(Figure continued on next page)

Figure 3F – Sample Task Work Sheet for “Planning Task” - MPO Charging All Actual Costs (continued)

Task 4.1. Transportation Improvement Program Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000	-	-	-	-	\$10,000
	Subtotal:	\$5,000	\$5,000	-	-	-	-	\$10,000
C. Travel								
	Travel Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
D. Other Direct Expenses								
	Other Direct Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
	Total:	\$20,000	\$5,000	\$10,000	\$1,250	\$1,250	-	\$37,500

Task 4.1. Transportation Improvement Program Estimated Budget Detail for FY 2017/18								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000	-	-	-	-	\$10,000
	Subtotal:	\$5,000	\$5,000	-	-	-	-	\$10,000
C. Travel								
	Travel Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
D. Other Direct Expenses								
	Other Direct Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
	Total:	\$20,000	\$5,000	\$10,000	\$1,250	\$1,250	-	\$37,500

Figure 3G – Sample Task Work Sheet for “Planning Task” - MPO Charging 25% Indirect Rate

Task 4.1 Transportation Improvement Program (TIP) Development		
Purpose:		
To annually update the five-year Transportation Improvement Program (TIP) and amend as needed, consistent with federal and state requirements.		
Previous Work Completed:		
Development of the FY 15/16-19/20 TIP and FY 16/17-20/21 TIP, and all required amendments.		
Required Activities:		
<ul style="list-style-type: none"> • Annually develop, update and publish the TIP, a five-year program of transportation improvements in the MPO area, in accordance with federal and state requirements and the MPO's Public Participation Plan. • Perform amendments to the adopted TIP as necessary. • Ensure consistency of the TIP with the MPO LRTP & local Capital Improvement Programs. • Publish annual listing of previously obligated projects. 		
End Product:	Completion Date:	Responsible Agency: MPO
FY 2016/17 – 2021/22 TIP	Adoption in June 2016	
FY 2017/18 – 2022/23 TIP	Adoption in June 2017	
TIP Amendments	As needed	

(Figure continued on next page)

Figure 3G – Sample Task Work Sheet for “Planning Task” - MPO Charging 25% Indirect Rate (continued)

Task 4.1. Transportation Improvement Program Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000	-	-	-	-	\$10,000
	Subtotal:	\$5,000	\$5,000	-	-	-	-	\$10,000
C. Travel								
	Travel Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
D. Indirect Expenses								
	25% Federally-Approved Indirect cost rate	\$5,000	\$1,250	\$2,500	\$312.50	\$312.50		\$18,750
	Subtotal:	\$5,000	\$1,250	\$2,500	\$312.50	\$312.50		\$18,750
	Total:	\$25,000	\$6,250	\$12,500	\$1,562.50	\$1,562.50	-	\$46,875

Task 4.1. Transportation Improvement Program Estimated Budget Detail for FY 207/18								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000	-	-	-	-	\$10,000
	Subtotal:	\$5,000	\$5,000	-	-	-	-	\$10,000
C. Travel								
	Travel Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
D. Indirect Expenses								
	25% Federally-Approved Indirect cost rate	\$5,000	\$1,250	\$2,500	\$312.50	\$312.50		\$18,750
	Subtotal:	\$5,000	\$1,250	\$2,500	\$312.50	\$312.50		\$18,750
	Total:	\$25,000	\$6,250	\$12,500	\$1,562.50	\$1,562.50	-	\$46,875

3.11.6 SUMMARY BUDGET TABLES

The following budget tables identify agency participation and funding sources.

1. Table 1: Agency Participation - identifies participating agencies with respective funding commitments by task with line and column totals. There should be a separate column indicating the dollars that will be billed to consultants. If the MPO uses a mixture of fund types for consultant work (e.g., PL, 5303 and 5307), the table should clearly identify what the amount is for FHWA funds and FTA funds. An example of Table 1 can be found in Appendix B.
2. Table 2: Funding Source - lists current year funding by program source for each task with line and column totals. The Department will soft match the PL funds and any SU funds using toll revenue expenditures as a credit toward the non-federal matching funds. The amount of soft match by task should be reflected on this table. An example of Table 2 can be found in Appendix B.

Please note: Each UPWP should include one set of Tables 1 and 2 for Year 1 (e.g., 2016/17) and another set for Year 2 (e.g., 2017/18).

3.11.7 JOINT CERTIFICATION PACKAGE

The timing of the annual certifications is meant to provide input into the development of the UPWP. This section of the UPWP should include the signed certification statement, a summary description of any noteworthy achievements, and a list of any corrective actions and/or recommendations. If there are any attachments associated with the noteworthy achievements, they can be sent separately. Although the UPWP is adopted every other year, the MPO's certification must occur annually. This is because certification is tied to approval of the TIP and STIP, which in Florida is submitted annually. During Year 1, the certification will be a stand-alone process since no UPWP is adopted that year. Copies of the certification packages in year 1 must be sent to FHWA, FTA and the MPO Statewide Coordinator. See [Chapter 7](#) of the MPO Handbook for more information on the certification process. The Joint Certification Statement can be found on the Office of Policy Planning website at <http://www.dot.state.fl.us/planning/policy/metrosupport/assurance.shtm>.

3.11.8 STATEMENTS AND ASSURANCES

The UPWP should include several signed policy statements which must be signed and submitted on an annual basis. These statements cover the areas of debarment, disadvantaged business enterprises, and lobbying. Copies of these statements and

assurances can be found on the Office of Policy Planning website at <http://www.dot.state.fl.us/planning/policy/metrosupport/assurance.shtm>.

1. Debarment and Suspension - This statement assures that FHWA funds have not been used for procurement from persons who have been debarred or suspended in accordance with the provisions of [49 C.F.R. 29](#), **subparts A through E**. This certification statement is provided to satisfy the requirements of federal regulations regarding debarment and suspension. Each MPO should coordinate with their legal counsel on this item.
2. Disadvantaged Business Enterprise - This statement certifies that the MPO and its consultants will comply with federal requirements pertaining to participation of DBEs in federally awarded contracts.
3. Lobbying - Pursuant to [31 U.S.C. 1352](#), the MPO must annually certify to the FHWA that no appropriated federal funds are being used to influence, or attempt to influence (lobby), any member of Congress or their employees in connection with the awarding of any contract, grant, loan, cooperative agreement, or the extension, continuation, renewal, amendment or modification of any existing contract, grant loan or cooperative agreement.

If any funds other than federally appropriated funds have been, or will be, paid to any person for the influencing, or attempting to influence, a member of Congress or its employees in connection with a federal contract, grant, loan or cooperative agreement, the MPO must in accordance complete [Standard Form LLL](#) - Disclosure Form to Report Lobbying to serve as the Lobbying Certification Statement.

The Certificate for Contracts, Grants, Loans and Cooperative Agreements for all federal grants in excess of \$100,000 must be signed annually by the **MPO chairperson**. This statement should also be included in the UPWP.

3.11.9 TITLE VI NONDISCRIMINATION AGREEMENT

As a sub-recipient of the Florida Department of Transportation, each MPO is required to sign a Title VI and Related Statutes Nondiscrimination Agreement with the State to assure Title VI and other non-discrimination authorities' compliance. The official name of the form is [Title VI/Nondiscrimination Policy Statement](#). The sample policy statement is included in Appendix B.

The Nondiscrimination Agreement acts as the MPO's Title VI Plan pursuant to [23 CFR Part 200](#) and the Federal Highway Administration's Title VI Implementation Guide. It includes

all of the Title VI requirements that a MPO agrees to take on in return for receiving Planning (PL) funds from the State.

The Title VI Nondiscrimination Agreement must be signed **annually** by the MPO's signature authority. Normally, it is submitted with the Unified Planning Work Program (UPWP). District Planning staff are encouraged to work with their Title VI Program Area Officer when reviewing the agreement for compliance with the Title VI Nondiscrimination Program.

3.12 UPWP DEVELOPMENT, REVIEW AND APPROVAL

3.12.1 EARLY STEPS IN UPWP DEVELOPMENT

In **December**, the Office of Policy Planning and/or the Public Transportation Office sends the District any statewide and/or regional tasks and/or Planning Emphasis Areas (PEA's) they have identified. The Program Development Office also provides the Districts and the MPOs with the latest MPO balance sheet for UPWP development. The balance sheet will include separately the Year 1 allocation and, for illustrative purposes, the anticipated Year 2 allocation. No later than **January**, the District begins early coordination with the MPO and provides technical assistance to the MPO on preparation of the UPWP. At that time, the District will provide to the MPO any new tasks and the most recent estimates of FHWA and FTA metropolitan planning funds available to the MPO. It is very important the balance sheets (PL spreadsheet provided by FDOT) be checked against the UPWP. The FHWA and/or the FTA should be consulted early in the UPWP development process if the MPO and/or the Department identify issues that require additional discussion. The MPO is encouraged to initiate a "kick off" meeting with their respective District(s), who may invite FHWA/FTA and other transportation partners to attend. The MPO should develop the UPWP in accordance with a documented public participation plan consistent with [23 C.F.R. 450.316](#).

The schedule for the development, review and approval of the UPWP is presented in **Figure 3E**.

Figure 3H – Development, Review and Approval of the UPWP



3.13 REVIEW OF THE DRAFT UPWP

No later than **March 15** during update years, the MPO will transmit the draft UPWP to reviewing agencies as shown in **Figure 3D**. The District shall distribute copies to agencies within **five working days** of receipt with internal distribution by the District as deemed appropriate. The District shall review the draft UPWP for format and content based on the guidance and checklist found in Appendix A. The District shall complete this review and provide comments within **30 calendar days** of receipt of the draft UPWP to the MPO.

Copies of District comments should be transmitted to FHWA and FTA. During the **30 day** review period, the District will coordinate with the MPO to ensure the UPWP addresses Department concerns. Agencies receiving the draft UPWP for review from the Department should provide comments to the District and the MPO **within 30 days of receipt**.

Note to Districts: Please make sure that only one version of the Draft UPWP is sent out for review. Review agencies, including FHWA and FTA are working on a time line. Please do not send out preliminary drafts only to follow them up with final drafts.

3.13.1 ADOPTION AND SUBMITTAL OF THE UPWP

By **May 15**, the MPO will address all comments and adopt the Final UPWP. The District Liaisons and the MPOs will distribute the final UPWP according to the list in **Figure 3F**. **Delays in the implementation of this schedule may jeopardize the timely receipt of federal PL funds by the MPO.** The District must coordinate closely with the MPO to assist in meeting these deadlines.

Electronic copies such as CDs and e-mail PDF attachments are acceptable. Links to websites **are not** acceptable for the purpose of submitting copies of UPWPs to agencies. It is important that the final copies of the UPWP sent to OPP, FHWA, and FTA come from the FDOT District, not the MPO, with a submittal letter recommending approval.

Figure 3I – Distribution of the Draft and Final UPWP

Agency	Distributed by MPO	
	Draft	Final
If the UPWP includes projects that may impact airport facilities: Federal Aviation Administration Airport District Office Planning Specialist Attn: Bill Farris 5950 Hazeltine National Drive, Suite 400 Orlando, FL 32822	1	1
FDOT District	As agreed by district and MPO	
Agency	District Distributed	
	Draft	Final
MPO Statewide Coordinator Office of Policy Planning 605 Suwannee St. Mail Station 28 Tallahassee, FL 32399-0450	1	1
Administrator, Transit Planning 605 Suwannee Street Mail Station 26 Tallahassee, FL 32399-0450	1	1
Transportation Disadvantaged Director Attn: Steven Holmes 605 Suwannee Street, Mail Station 49 Tallahassee, FL 32399-0450	None	1
For MPOs with Turnpike Projects: Florida Turnpike Planning Manager Building 5315 P.O. Box 613069 Ocoee, FL 34761	None	1
Division Administrator Florida Division FHWA Mail Station 29 Tallahassee, FL 32303	1	2
Region Administrator Federal Transit Administration - Region IV 230 Peachtree St. NW Suite 800 Atlanta, GA 30303	1	1
FDOT District internal distribution	As agreed upon	As agreed upon

3.13.2 DISTRICT REVIEW OF THE FINAL UPWP

Within 10 working days of receipt, the District shall review the final UPWP for format and content using the UPWP Review Checklist and the Department's and other agencies' comments on the Draft UPWP. The UPWP Review Checklist can be found in Appendix A. The MPO shall address any problems resulting from the District's review and suggest ways to resolve those comments not addressed in the final UPWP as submitted. The District will transmit the MPO's response and comments to the FHWA, the FTA, and the Public Transportation Office.

The District review of the UPWP must also include the review of the Estimated Budget Details. At the time of adoption of the UPWP, cost analyses must be performed on each of the Estimated Budget Details in the UPWP. This must occur before execution of the MPO Agreement.

The District will transmit copies of the final UPWP to FHWA for their receipt prior to June 1. Based on the review of the final UPWP, the District shall make a recommendation for approval, conditional approval, or disapproval of the UPWP in its transmittal letter to FHWA.

The District and the MPOs need to be aware that the **failure to meet the submittal deadlines outlined in this chapter may result in a delay in receiving federal PL funds for the UPWP and that any failure by the District and the MPO to resolve any outstanding issues by June 30 may jeopardize final UPWP approval and authorization of PL, Section 5303 and Section 5307 funds.** The District and the MPOs shall distribute the final adopted UPWP in accordance with the list shown in Figure 3D.

3.13.3 FHWA/FTA APPROVAL

The Federal Highway Administration approves the UPWP [[23 C.F.R. 420.115\(a\)](#)]. UPWPs include tasks funded by both the Federal Highway Administration and the Federal Transit Administration; FHWA coordinates comments and offers concurrence from FTA prior to approval of the UPWP and approves the UPWP on behalf of FTA. In order for FHWA to approve the UPWP prior to the beginning of the state fiscal year on July 1, it is critical that they have adequate time to review it. As shown in **Figure 3D**, the District MPO liaison should forward the adopted UPWP to FHWA, MPO Statewide Coordinator and FTA by **June 1**.

FHWA will send its approval letter to the District; the District shall notify the MPO within **10 business days**; and the District will provide the MPO a copy of the approval letter. It is

important to remember that the funds still need to be authorized in the Federal Aid Management System. **Section 3.14.2** describes this process. Also although the MPO has adopted a 2-Year UPWP, the Department will still have to do multiple authorizations over that time period. This is because the state and federal governments have different start-end dates for their fiscal years and because the Florida Legislature grants budget authority for only one year at a time.

FHWA and FTA may disapprove or withhold approval of certain tasks in the UPWP. Should that occur, a MPO cannot receive reimbursement of PL funds for these tasks until FHWA and FTA grant approval.

3.14 FINANCIAL MANAGEMENT OF METROPOLITAN PLANNING FUNDS

3.14.1 PROGRAMMING OF MPO FUNDS

All FHWA funds being provided to each MPO for planning purposes for the two-year UPWP shall be programmed on a consistent basis.

The Central Office, Office of Work Program & Budget will establish financial project numbers for each MPO's UPWP and program the MPO's PL allocation on sequence -01 of these financial project numbers. District staff shall program all non-PL FHWA-program funds (such as SU, TA, or CM) on subsequent sequences beyond -01. **Each fund type shall be programmed on its own sequence.** In other words, an MPO's entire SU balance shall be programmed on the same sequence, regardless of the number of tasks to be funded by SU funds.

For example, if an MPO is receiving \$500,000 in PL funds in both FY 16/17 & 17/18, \$15,000 in SU funds in FY 16/17 for two tasks, \$10,000 in SU in FY 17/18 for one task, and \$12,000 in TA funds in FY 16/17 for one task, the programming would reflect the following:

FPN Sequence	Fiscal Year	Fund Type	Amount
-01	FY 16/17	PL	\$500,000
-01	FY 17/18	PL	\$500,000
-02	FY 16/17	SU	\$15,000
-02	FY 17/18	SU	\$10,000
-03	FY 16/17	TA	\$12,000

District staff must be sure to take these new programming guidelines into account when programming MPO funds. Please refer to the **Department's Work Program Instructions** for further guidance.

3.14.2 AUTHORIZATION AND ENCUMBRANCE LEVELS

The Central Office's Program Development Office distributes information to the Districts for each MPO that gives authorization and encumbrance levels for the PL funds in the newly approved UPWP. This information provides:

1. Initial UPWP authorization amount;
2. Initial encumbrance amount;
3. Second authorization amount; and
4. Final encumbrance amount (if needed).

District MPO Liaisons are responsible for tracking and initializing the authorization and encumbrance of non-PL FHWA funds being provided to the MPO for planning purposes, of which the steps are inherently the same as those below.

3.14.3 INITIAL AUTHORIZATION OF FHWA PLANNING FUNDS

PL fund authorizations are typically issued at least twice for each fiscal year. The first authorization occurs after the FHWA approves the UPWP and provides only a portion of funds for the new state fiscal year beginning on **July 1**. The reason for the partial authorization is that while Florida's fiscal year begins July 1, the new federal fiscal year does not begin until October 1, meaning that new federal fiscal year PL funds are not available until then.

The initial authorization, using the MPOs' available balance of funds from the previous year, allows the MPOs to begin work on **July 1** and to be able to bill for reimbursement of expenditures during the gap between the new state fiscal year and the new federal fiscal year (July 1 through September 30). The Department must request the first authorization of PL funds no later than **June 15**. Funds and budget must be approved prior to **July 1**. The required steps are as follows:

1. No later than **June 15**, the District MPO Liaison will request the District Federal-Aid Coordinator to process an authorization request in the *Federal Aid Management System* (FAMS) to the Central Federal-Aid Office for the authorization of PL funds for the new UPWP. The District Federal Aid Coordinator will copy the Statewide MPO Financial Coordinator in the Program

- Development office with the request to the Federal-Aid Office. Before the District Federal Aid Coordinator can make the authorization request, the District MPO Liaison must provide a copy of the FHWA and FTA letter approving the UPWP.
2. The Department receives an *Electronic Signature Document* (ESD) from the FHWA authorizing the Department to commit PL funds to the MPO for the reimbursement of MPO expenditures as budgeted in the approved UPWP. The District Federal-Aid Coordinator will provide a copy of the ESD to the District MPO Liaison. Upon receipt of the ESD, a letter notifying the MPO to expend the specified amount of funds is sent by the Department to the MPO with a copy of the ESD.
 3. Once FHWA authorizes the expenditure of funds, the next step is to encumber the funds. This is a state process and is described in the next section.

The MPO will not be reimbursed for expenditures incurred prior to the date of federal authorization of PL funds [23 C.F.R. 420.113(a)(5)] and the fund encumbrance. Thus, work that could generate charges for reimbursement must not start until after the MPO receives an approval letter from the District.

If the FHWA and the FTA have not approved a MPO's UPWP by **June 30**, the FDOT District cannot request an authorization of funds for the UPWP for the new fiscal year at that time. The authorization of funds cannot occur until FHWA and FTA have approved the UPWP. Work performed by the MPO or contracted out by the MPO during this time period (July 1 to the date of authorization) **cannot be billed** for reimbursement. In other words, expenses incurred during this time will not be reimbursed.

If sufficient funds are not available on July 1 to fund the UPWP budget in full, the District MPO Liaison will request a second authorization via FAMS once the Department receives the Official Notice of Appropriation from FHWA. This occurs sometime after October 1.

Even though the MPOs are on a 2-Year cycle, FHWA will still authorize/approve the funds one fiscal year at a time.

3.14.4 INITIAL FUND APPROVAL/ENCUMBRANCE OF FUNDS

Immediately after the Department initiates the authorization process, as described in **Section 3.14.2**, the Liaison (or whoever the District designates) must encumber the funds in the Contract Funds Management (CFM) System and notify the District Federal Aid Coordinator. The encumbrance requests must be submitted by **June 15** to allow sufficient time for review, processing, and conditional approval before **July 1**. The fund

approval/encumbrance will be processed subject to legislative approval of the budget. The CFM System returns the reviewed fund approval by electronic mail to the originator.

After legislative approval of the budget, the CFM System will then encumber funds on projects reviewed during June. A follow-up e-mail will be sent to the originator stating that funds have been approved.

Once the funds are encumbered, the District MPO Liaison will transmit a Letter of Authorization (LOA) along with the Electronic Signature Document (ESD) to the MPO. This letter authorizes the MPO to begin work that will be reimbursed by state or federal funds.

3.14.5 REMAINING AUTHORIZATION AND ENCUMBRANCES

The second authorization will be provided after October 1 when the official FHWA *Notice of Appropriation* is received for the new federal fiscal year. The process is similar to the authorization in June. Upon receipt of the second ESD a second LOA, with a copy of the ESD, should be sent to the MPO indicating additional PL funds are now available. Prior to the request for the second authorization, the Program Development Office will adjust the Adopted Work Program estimate. The additional PL funds must be encumbered to secure state budget authority to expend federal funds.

3.14.6 ADDITIONAL FHWA FUND AUTHORIZATIONS

Sometimes during the fiscal year, there is a need to increase the UPWP budget. In those situations, the Department must request additional authorization from FHWA.

First, the District MPO Liaison will coordinate with the Program Development Office in Central Office to ensure the availability of funds. Next, the MPO will adopt a UPWP amendment and transmit it to the District (refer to **Section 3.19**). The District will forward the amendment to FHWA with a cover letter describing the need for the change and recommending approval.

After FHWA approves the amendment, the District Liaison must authorize the funds in FAMS using the same process described in **Section 3.14.2**. Once FHWA authorizes the funds, the next step is to encumber them using the same process described in **Section 3.14.3**. Once this is completed, the liaison will send a letter to the MPO authorizing the expenditure of PL funds based on the new budget amount along with a copy of the ESD. UPWP amendments adding funds to the budget should be approved by the MPO no later than **March 15** and submitted to the District no later than **April 1**.

3.14.7 PL FUNDS CARRYFORWARD AND AVAILABLE BALANCE

Carryforward funds occur when a MPO does not obligate/authorize all available PL funds in the current and/or prior fiscal years. Carryforward funds are combined with the annual allocation for the new fiscal year, the close out funds from the prior years, and de-obligated funds from the prior year to determine a MPO's available PL fund balance for the upcoming fiscal year. Any budget (spending authority) associated with carryforward funds is obtained through the Department's roll-forward process and is subject to approval of the Legislative Budget Committee.

In a two year UPWP a MPO does not have to de-obligate funds in the first year of the fiscal two year cycle. If the funds are de-obligated and un-encumbered in the first year of a two year UPWP, they will roll forward and be available by the end of September in the second year of a two year UPWP. **This is not recommended.** If the district liaison does not un-encumber the funds in the first year the funds will remain in the first year of the two year UPWP and the MPO must be careful to invoice appropriate expenses against the funds in the first year. See **Section 3.15** for de-obligating funds in the second year of a two year UPWP. See **Section 3.16** for close out of PL funds.

3.15 DE-OBLIGATION OF FHWA FUNDS

De-obligation of funds releases federal funds previously authorized but not expended by the MPO. In years past, MPOs de-obligated PL funds if they knew the funds wouldn't be needed in the current fiscal year but would be needed in the next fiscal year. **One of the benefits to switching to the 2-Year UPWP is that a MPO only needs to close-out and/or de-obligate funds every other year, if they choose to leave them in the first fiscal year.** If the MPO has an unexpended balance on a task in Year 1 of the UPWP and they wish to continue with that task in Year 2 (provided the task is appropriately included in Year 2 of the UPWP), MPOs should leave the balance in the first fiscal year of the two year UPWP. The funds and budget would be available July 1 of the second fiscal year of the UPWP, and the MPO must be careful to invoice against Year 1 of the UPWP for these funds.

If the MPO has an unexpended balance in Year 1 of the two year UPWP and wishes to expend these funds on a *different* task in Year 2, the funds must roll forward. In order for the roll forward to happen, the liaisons need to un-encumber the unexpended funds in the first fiscal year of the two year UPWP by **April 27th**. The *funds* will be available July 1 of the second fiscal year of the UPWP; however, the *budget* will not be available until the end of September of the second fiscal year of the UPWP. In order to spend these funds on a new or unrelated existing task in the second year of the two year UPWP, a UPWP amendment is

required to remove the funds from the old task and add to a new task, or add to an unrelated existing task in the second year of the two year UPWP.

Before the end of Year 2, a MPO must un-encumber and de-obligate any funds it wishes to be available in Year 1 of the next adopted 2-Year UPWP. The MPO should take this action no later than **April 1** and make sure it is received by the District no later than **May 1**. This lead-time is required in order to amend the Work Program by June 30 and release the de-obligated federal funds for use in the new UPWP. **If a MPO does not de-obligate those funds by the end of Year 2, they will be subject to the close-out process and will not become available again until July 1 of Year 2 of the next UPWP; however, the budget will not be available until the end of September of Year 2 of the next 2 year UPWP (see Section 3.16 for more information on the close-out process).**

De-obligating PL funds in the MPO's second fiscal year UPWP requires that:

1. The MPO must amend the UPWP and request a de-obligation of the current PL fund authorization.
2. Upon approval of the UPWP amendment by FHWA, the District MPO Liaison will request that the District Federal Aid-Coordinator obtain a de-obligation of the unused PL funds. This request follows the same process as the authorization request in **Section 3.14.3**. After the approved *Electronic Signature Documents* (ESD) are issued, the District Federal Aid Coordinator will distribute a copy of the ESD to the District MPO Liaison. The de-obligated funds must be processed via the Contract Funds Management (CFM) System. The CFM System will remove any remaining funds on the Letter of Authorization (LOA) when the LOA is placed in a status 50 (closed).
3. The District MPO Liaison will forward a copy of the federal approval letter to the MPO.
4. The liaisons need to coordinate with the District Work Program/Federal Aid Office to complete the de-obligation process in the CFM system. Once the de-obligation process is complete, the liaison needs to notify the Central Office Program Development Office.
5. The de-obligated funds will be available for use in the first fiscal year of the new UPWP. However, the budget to expend the funds will not be available until the end of September of the first fiscal year.

3.16 CLOSE-OUT OF FHWA FUNDS

In accordance with **2 CFR §200.343**, FHWA funds obligated and unexpended in a prior year UPWP must be closed out within **90 days** of the termination of the grant. The grant is based on the Work Program fiscal year (i.e., June 30 to July 1). Based on this timeline, FDOT has until September 30 to have the final invoice and close out documents to FHWA. **It is important that this process be started prior to September 30; do not wait until the deadline to start the process.**

With a two year UPWP, this termination occurs every other year. Therefore, there is no need to close out the grant between Years 1 and 2. The MPO will conduct close out procedures at the end of Year 2. If a MPO anticipates that it will not have its final invoice submitted to the District in time to allow the closeout process to occur by **September 30**, the MPO should notify the District. If the District anticipates it will not have the close-out memo completed before **September 30**, the District **MUST** request, in writing, a time extension from FHWA. **Once granted, the extension will be good for only an additional 30 days.** After 30 days, another extension may be requested and granted if needed.

The process for closing out a PL fund project account is:

1. After the MPO submits the final invoice, the District sends a letter to the MPO's staff director stating the Department's desire to close out the account and requesting the MPO to confirm the amounts expended. This letter includes a Confirmation Form and provides the authorization and level of reimbursements provided to the MPO for the fiscal year. Examples of a close out letter and confirmation form are contained in Appendix C.
2. Upon receipt of the Confirmation letter and Form, the MPO should promptly review its financial records. Based on the MPO's review of its records, any discrepancies should be noted. Any discrepancies found should be resolved before signing a confirmation form. The signed confirmation form is then returned to the District. The District MPO Liaison will submit a Status Change Form to the District Financial Service Office (FSO) to have the Letter Of Authorization (LOA) placed in a status 50, through the CFM system. Any remaining funds on the LOA will be un-encumbered once the LOA is placed in a status 50, by the system. This should be done by September 30th.
3. Once the signed confirmation form is received from the MPO, the District MPO Liaison writes a closeout memorandum to the following offices requesting:
 - a. The District Federal-Aid Coordinator prepares an Authorization Request and a Federal Aid Management System (FAMS), (for an Electronic Signature

Document) to reduce the PL fund authorization for the MPO's UPWP to the level of reimbursements provided to the MPO for that fiscal year.

- b. The Program Development Office, PL Funds Coordinator, begins the fund adjustments to the PL Fund accounts.

Examples of the Close Out Letter and Confirmation Form are located in **Appendix C**. The de-obligation of the remaining authorization follows the process described in **Section 3.15**. After the de-obligation request has been approved, the Central Office Program Development Office will adjust the MPO's account and increase the MPO's available PL balance by the de-obligated funds. The District will be responsible for the tracking of non-PL FHWA funds provided to the MPO.

An example timeline of the authorization/encumbrance/de-obligation/close-out process can be found on **Figure 3L**, as well as timelines of key financial administration actions on **Figures 3M** and **3N**.

Figure 3L – De-Obligation and Close-Out Process Example

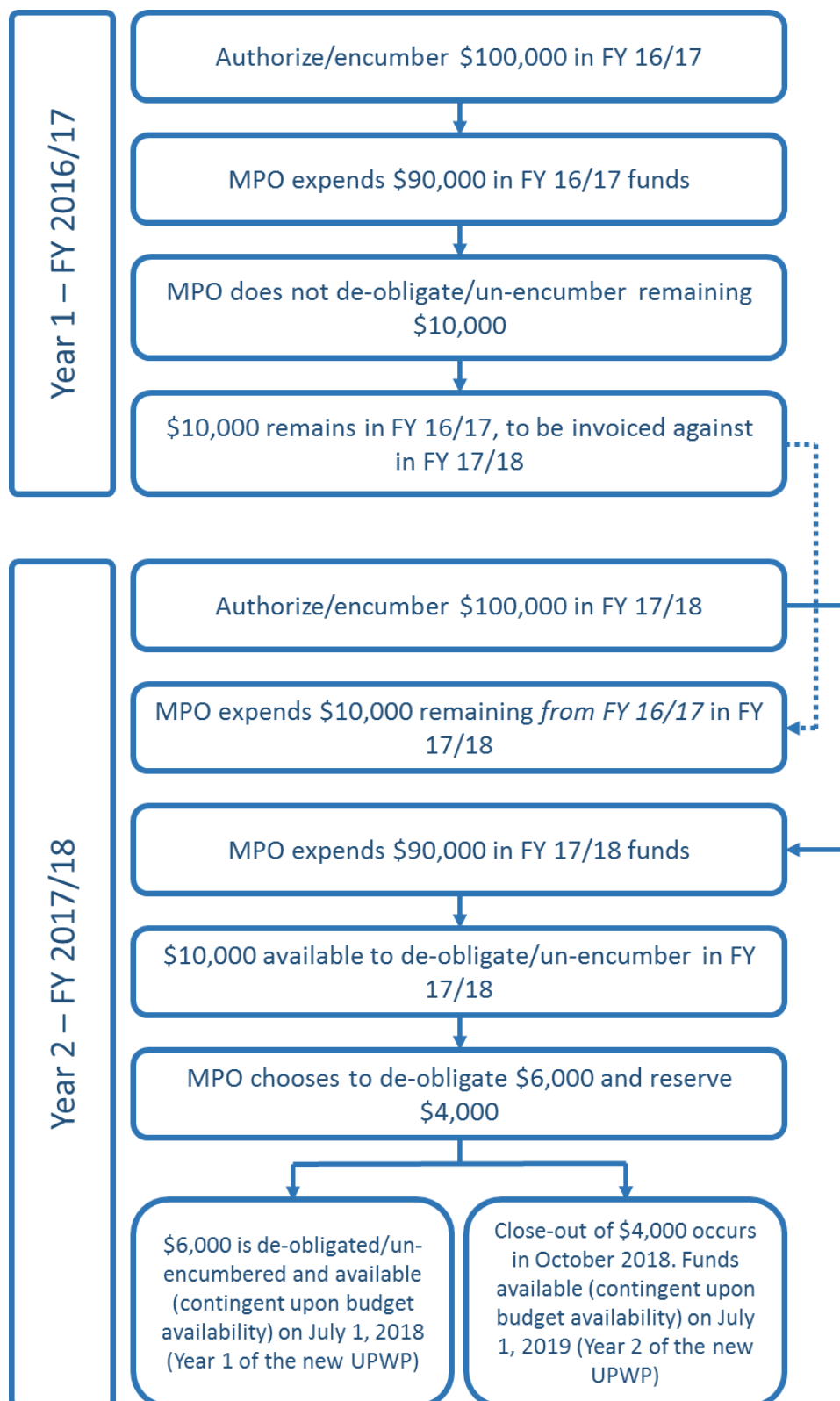


Figure 3M – Key Financial Administration Dates and Actions (Year 1)

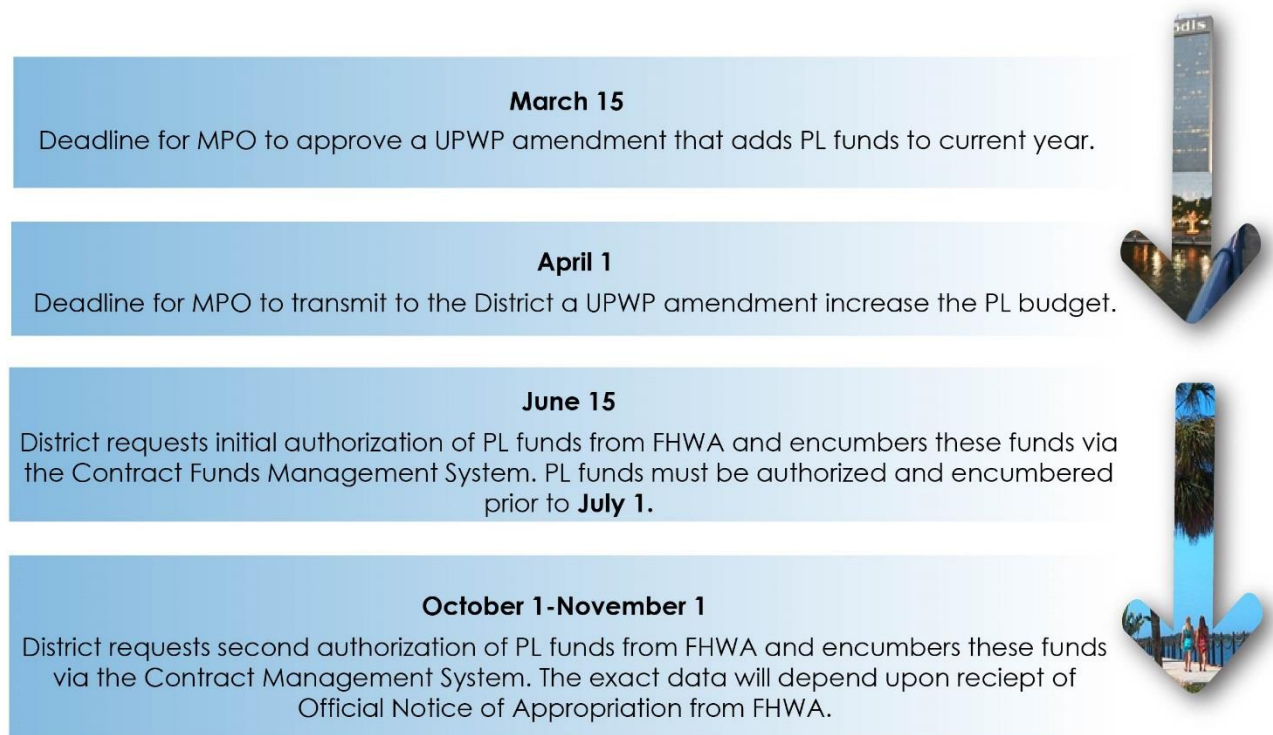
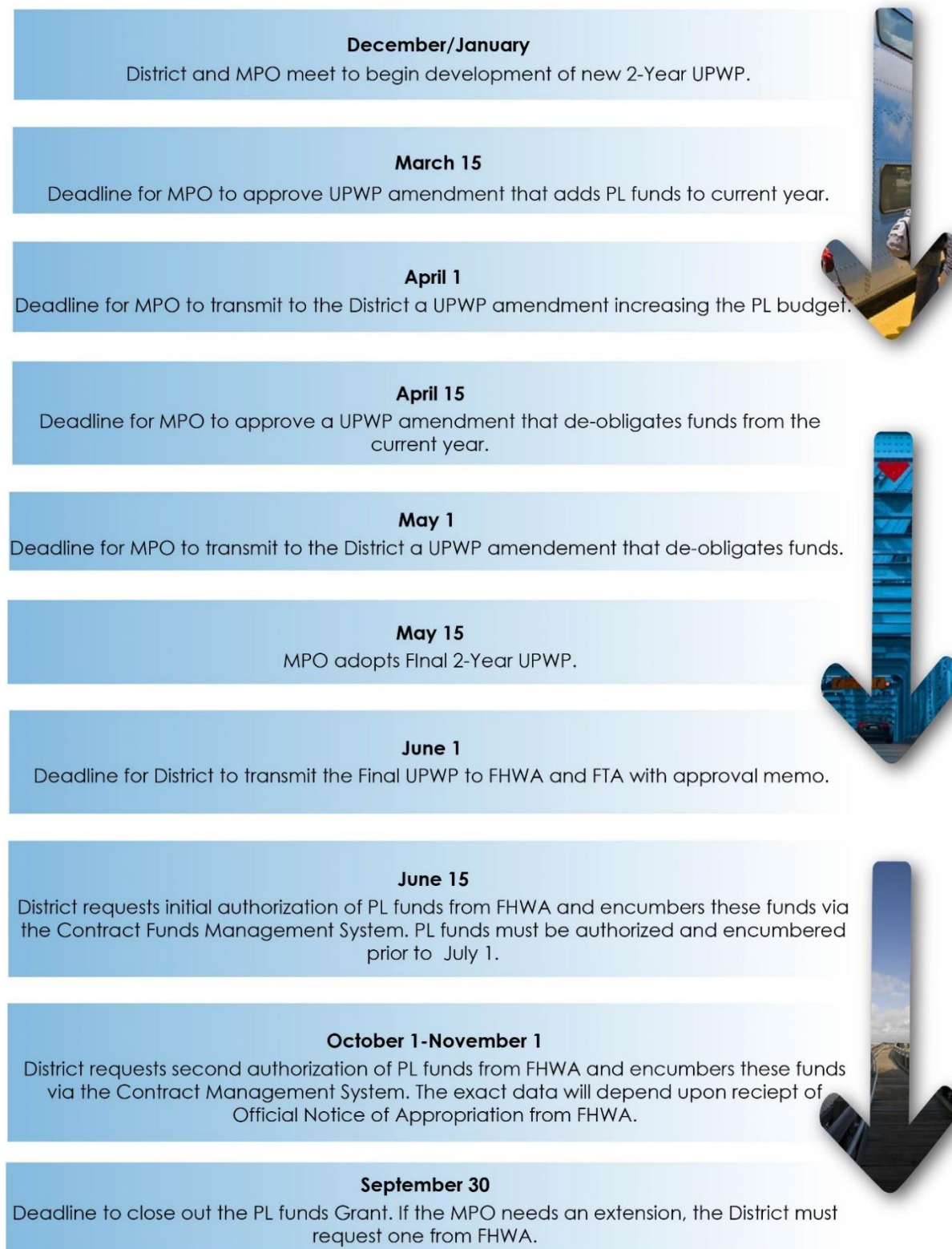


Figure 3N – Key Financial Administration Dates and Actions (Year 2)



3.17 UPWP REVISIONS

The District and the MPO shall monitor invoices for overruns (or potential overruns) by comparing task expenditure amounts with programmed task amounts. When it appears that an individually invoiced FHWA funded line item will require revision, the MPO must prepare and submit a request for an amendment of the UPWP, or in the case of a modification, notify the District MPO Liaison. Amendments are also necessary when the MPO introduces conditions that changes the scope of a UPWP task or adds or deletes work tasks or subtasks. All revisions (both modifications and amendments) must be submitted to the District using the UPWP Revision Form. The UPWP Revision Form and instructions for using the form are located on the Office of Policy Planning website at: <http://www.dot.state.fl.us/planning/policy/>.

3.17.1 TYPES OF UPWP REVISIONS

Revisions to the UPWP involving FHWA/FTA funds fall into two categories, each requiring different actions by the District and the FHWA/FTA.

1. Modifications - are revisions that
 - a. Do not change the approved FHWA budget or
 - b. Do not change the scope of the FHWA funded work task(s) or
 - c. Do not add or delete a work task(s)
2. Amendments - are revisions that
 - a. Change the approved FHWA budget or
 - b. Change the scope of the FHWA work task(s) or
 - c. Add or delete a work task(s)

Please note: MPOs cannot utilize funds from Year 2 to cover cost overruns in Year 1 since the budget for Year 2 has not yet been approved.

3.17.2 APPROVAL OF UPWP REVISIONS

Approval for a **modification** is not required; however the District MPO Liaison and the FHWA should be advised of any MPO modifications to the UPWP. Notification of a modification should occur within the consultative process prior to its execution by the MPO. Please note that modifications solely involving FTA funds do not need to be transmitted to FTA.

Amendments must be approved by the FHWA for all FHWA program funds. The UPWP Revision form must be used to submit for approval. Amendment requests must indicate the **total amount of the funds** being increased, decreased or de-obligated within the body of the amendment request. The PL administrator in the Financial Development Office must be copied on the amendment request. The District shall review the MPO's amendment request and transmit a letter of concurrence or comments within **10 working days** of receipt from the MPO along with copies of the request and supporting material to FHWA for approval. The District shall notify the MPO of FHWA's response within **10 working days** of receipt. The consultative process should be used at all stages of an amendment in order to facilitate communication and coordination among all parties involved. The District shall provide copies of the FHWA approved amendment to the Program Development Office.

The MPO Liaison, acting as the Grant Manager for the MPO grant funds in the UPWP, shall perform the cost analysis for all actions taken on the UPWP, including amendments and modifications. This cost analysis shall be documented through signature on the Cost Analysis statement at the front of the UPWP, the date on which should reflect the last action taken.

3.17.3 UPWP & MPO AGREEMENT REVISIONS

All revisions to the UPWP (both amendments and modifications) also prompt an amendment to the MPO Agreement, as the UPWP acts as the Scope of Work for the MPO Agreement. For this reason, MPO directors and staffs have been advised to seek authority from their Board to amend the MPO Agreement as needed, upon approval of UPWP amendments and modifications. The MPO and District shall jointly execute the **MPO Agreement Amendment Form**, available on the [Office of Policy Planning's MPO Agreement & Invoicing Process webpage](#), to amend the MPO Agreement.

UPWP & MPO Agreement amendments that increase or decrease the FHWA-approved budget of the UPWP (and thus the total budgetary ceiling of the MPO Agreement) must be recorded in the Contract Funds Management (CFM) system as an *amendment* to increase to the total budget of the contract. For example, if the UPWP and MPO Agreement are amended to add additional PL funds, the increase in the total budgetary ceiling of the contract must be reflected in CFM.

Changes to the UPWP that do not increase or decrease the FHWA-approved budget (both amendments and modifications) do not require recording in CFM. If the UPWP and MPO Agreement are amended to reflect a major scope change, or if the UPWP is modified and

the MPO Agreement is amended to reflect a shift in funding between tasks and there is no increase in the FHWA-approved budget, then **no action is needed in CFM**.

All contract & UPWP change documentation must be uploaded to FDOT Florida Accountability Contract Tracking System (FACTS). As stated, amendments that are prompted from an increase or decrease to the FHWA budget must be recorded in CFM; these amendments will be reflected in FACTS already and the documentation must be uploaded as an amendment (Change Type A). Documentation for other changes to the UPWP & MPO Agreement that are not recorded in CFM (*both UPWP amendments and modifications*) must be uploaded to CFM under the “Upload Other” field, as a Change Type A.

3.18 MPO INVOICING

The MPO Agreement requires MPOs to submit invoices to the FDOT on a quarterly or monthly basis. At a minimum, the **invoice package** shall include:

1. An Invoice, using the required format reflected in Appendix D;
2. An Itemized Expenditure Detail Report; and
3. A Progress Report.

Each of these items is further discussed below. Additional documentation may be required to be submitted at the time of invoice, as determined by the FDOT MPO Liaison.

3.18.1 INVOICE

The Invoice reflects the budgeted amounts and amounts due by task, as well as critical contract information. The Invoice must be built using the required format reflected in Appendix D; a template is available on the **MPO Agreement & Invoicing webpage**. The Invoice must include the following:

1. MPO Name & Contact Information, including address, phone, and fax number;
2. District Contact Information;
3. Invoice number, using the following format: **FHWA-[Agreement Number]-[Invoice Number]** (for example, FHWA-G001-01, FHWA-G001-02, etc.);
4. Invoice period;
5. Contract number, including amendment number and modification number;
6. Amount due by Financial Project Number;
7. A listing of the tasks in the UPWP;

8. The amount due by UPWP task and by fund type;
9. The amount of FHWA funds due by UPWP task;
10. The amount of previous payments of FHWA funds by UPWP task;
11. The amount of FHWA funds budgeted by task in the UPWP;
12. Column totals; and
13. The Request for Payment Certification, signed by an authorized MPO official and reflecting the location of the supporting documentation for the invoice.

The Request for Payment Certification must be signed by an authorized MPO official. This is a requirement of 2 CFR §200.415, which states that all requests for payment must including the following certification:

“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).”

3.18.2 ITEMIZED EXPENDITURE DETAIL REPORT

The Itemized Expenditure Detail Report is used to demonstrate the costs incurred during the invoice period by the budget line items included in the UPWP. The MPO will not be reimbursed for any expenses not reflected on the itemized expenditure detail report.

FDOT does not prescribe a specific format for the itemized expenditure detail report; however, it must reflect the period of service that the costs were incurred within and must be itemized by UPWP task, by funding source, and by expenditure line items. The expenditure line items reflected on the itemized expenditure detail report must match those provided in the UPWP Estimated Budget Detail on each task.

For each line item reflected on the Itemized Expenditure Detail Report, the report must reflect the budgeted amount, derived from the UPWP; the amount of previous payments made on that line item; the current amount due for that line item; and the remaining balance available for that line item, derived from a calculation subtracting the total amount due and previous payments from the budgeted amount for each line item. If the remaining balance for any line item goes negative, the MPO must revise the UPWP to address it.

As stated, the itemized expenditure detail report does not need to follow a specific format; however, an example is available on the [MPO Agreement & Invoicing webpage](#).

3.18.3 PROGRESS REPORT

Progress reports are used to monitor the implementation of the UPWP consistent with [23 C.F.R. 420.11](#) and [F.T.A. Circular C 8100.1C \(September 1, 2008\)](#). **A progress report must accompany each invoice a MPO submits to the District;** as such, progress reports must be submitted on no more than a monthly basis and no less than a quarterly basis.

Federal regulations require quarterly reports to be due within 30 days after the end of the reporting period. Final reports are due 90 days after the end of the two year UPWP [[23 C.F.R. 420.117\(c\)](#)]. The MPO sends the UPWP Progress Report to the District MPO Liaison who forwards the reports to the FHWA. One copy of the progress report needs to be sent by the District Liaison to the Federal Programs Manager, FDOT Central Office Public Transit Office, 605 Suwannee St., MS 26, Tallahassee, FL 32399 to satisfy the FTA requirement. This report shall contain the following:

1. Each FHWA (PL funded) and FTA (Section 5303/5307) funded task separately;
2. A comparison of actual performance with established goals;
3. A description of progress in meeting schedules and milestones;

The MPO Liaison shall review each progress report that is submitted for evidence that the minimum performance standards in the MPO Agreement & UPWP were met, to support the costs incurred and being requested for reimbursement. There should be a clear tie between the tasks reflected in the UPWP, the activities expressed on the Progress Report, and the costs included in the Itemized Expenditure Detail report.

The MPO should report to the District any events that have a significant impact on the UPWP as soon as they become known including problems, delays, or adverse conditions that materially affect the MPO's ability to attain the UPWP's objectives. A description of the action taken or contemplated to be taken and any federal or state assistance needed to resolve the situation should accompany the MPO's disclosure [[23 C.F.R. 420.117\(d\)](#)].

3.18.4 INVOICE REVIEW, PAYMENT, AND RETURN

[Title 23 U.S.C. 104\(d\)\(2\)\(b\)](#) states that, "Not later than 15 business days after the date of receipt by a State of a request for reimbursement of expenditures made by a metropolitan planning organization for carrying out section 134, the State shall reimburse, from amounts

distributed under this paragraph to the metropolitan planning organization by the State, the metropolitan planning organization for those expenditures.” In order to meet this deadline, **MPO Liaisons shall have 3 (three) business days to review an MPO invoice and submit to the District Financial Services Office (FSO)** for further processing and submittal to the Department of Financial Services for payment.

Upon receipt of an invoice package from the MPO, the MPO Liaison must follow the steps outlined in the MPO Liaison Invoice Review Checklist prior to submitting to the FSO. This checklist can be found in **Appendix E**, with a fillable form version of the checklist found on the **MPO Agreement & Invoicing webpage**. The MPO Liaison Invoice Review Checklist outlines a series of yes/no questions that the MPO Liaison must follow as they complete their review of the invoice package. This review ensures that the information presented in the invoice is accurate and consistent both within the package and with the UPWP, that the invoice adequately represents the activities of the MPO, and to ensure that no unallowable costs or costs that have not been budgeted for are invoiced for.

Following are the steps in the MPO Liaison Invoice Review, along with additional instruction in *italics*:

1. Does the Invoice Package include the Invoice, Itemized Expenditure Detail Report and Progress Report?

These are the minimum required components of the invoice. If these items are not present, the invoice must be returned to the MPO for correction.

2. Do the service periods of the Itemized Expenditure Detail Report and the Progress Report match the service period of the Invoice?

The service periods of the various parts of the invoice package must match up. All costs being reimbursed for must have been incurred during the invoice service period.

3. Verify the Total FHWA Previous Payments and FHWA Remaining Balance amounts for each task on the invoice.

The Total FHWA Previous Payments amounts must match those in the MPO Liaison’s contract documentation. Any differences in previous payments between the MPO Liaison’s records and the MPO’s records must be resolved. The Remaining Balance is calculated by subtracting the previous payments and the current amount due from the budgeted amount in the UPWP. If the Remaining Balance on any task is negative, the UPWP must be revised to add additional budget to the task.

4. Does the Total FHWA Current Amount Due for each task on the Invoice match the total current expenses on the Itemized Expenditure Detail Report?

Verification that the information reflected on the invoice summary matches that on Itemized Expenditure Detail Report. All FHWA-program costs reflected on the Itemized Expenditure Detail Report must be reflected on the invoice summary.

5. Does the Total FHWA Budget Amount for each task on the Invoice match the total current FHWA budgeted amount in UPWP?

Verification that the budgeted amount reflected on the invoice summary accurately reflects the budgeted amount by task in the UPWP.

6. Review the Expenditure Detail Report for questionable line item expenses.

List questionable expenses in "Comments" and follow-up with the MPO. Any unallowable expenses will not be reimbursed for. See [Section 3.8](#) of this Chapter for more information on determining allowable expenses.

7. Verify the budget line items on the Itemized Expenditure Detail Report have not exceeded the Estimated Budget Detail line item budget amounts for each task in the UPWP.

The line items reflected on the Itemized Expenditure Detail report shall align with the line items reflected in the UPWP, and shall reflect the current amount due, the budgeted amount, previous payments, and the remaining balance by line item. If the remaining balance of any line item is negative, the UPWP must be revised to add additional budget to the negative line item.

8. Does the progress report evidence meeting minimum performance standards?

The progress report must reflect the activities undertaken by the MPO by UPWP task during the service period of the invoice. These activities must align with those described in the UPWP.

9. Is the Request for Payment Certification as required by 2 CFR §200.415 signed by MPO Authorized Official?

This certification statement is required by the Code of Federal Regulations and must be signed by an authorized official at the MPO.

Following the Liaison's review of the invoice package and if there are no discrepancies with the invoice package, the completed Invoice Review Checklist shall be saved in the MPO Liaison's contract file for future reference and the invoice package submitted to the District

FSO for further processing. Each District FSO has an email inbox for all invoices; the MPO Liaison should check with their District FSO for that address.

In the case where an invoice is incomplete or inaccurate, Section 9.H. of the MPO Agreement outlines required actions:

If the invoice is not complete or lacks information necessary for processing, it will be returned to the MPO, and the 15 business day timeframe for processing will start over upon receipt of the resubmitted invoice by the Department. If there is a case of a bona fide dispute, the invoice recorded in the financial system of the Department shall contain a statement of the dispute and authorize payment only in the amount not disputed. If an item is disputed and is not paid, a separate invoice could be submitted requesting reimbursement or the disputed item/amount could be included/added to a subsequent invoice.

If an invoice is incomplete or inaccurate, the MPO Liaison should work with the MPO to correct the issue and receive an updated invoice as soon as possible. If there are specific items of question and the issue cannot be resolved in a timely fashion, the MPO Liaison may submit the invoice for payment without the items in question and the items in question would be submitted as part of a subsequent invoice.

3.19 MPO RISK ASSESSMENT & MONITORING

Federal regulations require that FDOT, as the pass-through entity for MPO's federal planning funds, assess the MPO's level of risk and undertake monitoring activities as appropriate, depending on the risk level of the MPO.

Monitoring activities are both programmatic and fiscal in nature. Programmatic monitoring includes such activities as reviewing MPO planning products, reviewing agendas and participating in MPO meetings, site visits to the MPO, and MPO certifications (both the Annual Joint State-MPO Certification and the Federal TMA Certification, both addressed in [Chapter 7 of the MPO Program Management Handbook](#)). Fiscal monitoring activities include review of the MPO's Single Audit (performed by the Office of Comptroller, see below) and review of MPO invoices & supporting documentation. The Annual Joint State-MPO Certification process is being reviewed for the inclusion of components to further fiscal monitoring efforts.

More information and guidance on MPO risk assessment and monitoring can be found below.

3.19.1 MPO RISK ASSESSMENT

2 CFR §200.331(b) states that all pass-through entities must “*evaluate each subrecipient’s risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring...*” As the pass-through entity for each MPO’s federal planning funds, FDOT is bound to perform a risk assessment on each MPO and monitor the MPO appropriately depending on the level of risk (i.e. a higher risk MPO will be required to undergo more intensive monitoring than a lower risk MPO).

The Code of Federal Regulations goes on to state that the subrecipient risk assessment may include consideration of such factors as:

1. The subrecipient’s prior experience with the same or similar subawards;
2. The results of previous audits including whether or not the subrecipient receives a Single Audit in accordance with Subpart F—Audit Requirements of this part, and the extent to which the same or similar subaward has been audited as a major program;
3. Whether the subrecipient has new personnel or new or substantially changed systems; and
4. The extent and results of Federal awarding agency monitoring (e.g., if the subrecipient also receives Federal awards directly from a Federal awarding agency).

Risk assessment of the MPOs will take these factors into account as well as the results of previous monitoring activities (such as the MPO’s Single Audit and the Joint State-MPO Certification and/or Federal TMA Certification). **Each MPO’s risk level will be assessed using a scale of low, moderate, elevated, and high.**

Using the factors and scale provided above, each MPO’s minimum risk level will be assigned by Central Office in consultation with the District. The District will then have an opportunity to assign the MPO to a higher risk; the District may not assign the MPO a lower risk than assigned by Central Office. As stated, this risk assessment will influence the level of monitoring required on the MPO (see **Sections 3.19.2** and **3.19.3** for more information on monitoring activities).

Risk assessment will occur on an annual basis following the Central Office receipt of the results of each MPO’s Annual Joint State-MPO Certification.

3.19.2 PROGRAMMATIC MONITORING

As stated, FDOT, as the pass-through entity for federal MPO planning funds, is responsible for both programmatic and fiscal monitoring and oversight of the MPOs. Programmatic and fiscal monitoring events occur on both an ongoing basis as well as at defined events at defined intervals.

Programmatic monitoring activities are largely those that the FDOT District MPO Liaison performs as part of their participation in the MPO planning process: attendance and participation at MPO Board, Committee, and other public meetings; reviews of agendas, meeting materials, and minutes both prior to and after meetings; review of MPO planning products for timeliness, accuracy, and compliance with state and federal requirements; communicating with the MPO on a regular basis on programmatic subjects, issues, and concerns; visiting the MPO on-site and communicating with staff; discussions and feedback from MPO partner agencies; and other continued coordination and cooperation with MPOs. Additionally, the Annual Joint State-MPO Certification and Federal TMA Certification (if applicable) function as programmatic monitoring activities.

FDOT District staff should be sure to take a more active oversight role for MPOs that pose a significant risk programmatically, such as more frequent site visits, reviews of MPO planning products throughout their development, and avoiding the use of the Modified Joint Certification review for the Standard Joint Certification Review (**see Chapter 7**).

3.19.3 FISCAL MONITORING

FDOT is also responsible for fiscal monitoring and oversight of the MPOs. Fiscal monitoring activities are those that the MPO Liaison performs to ensure that the MPO has adequate financial controls, is not incurring unallowable or ineligible expenses, and that the federal funds being used by the MPO are for authorized purposes in compliance with federal and state laws, rules, and regulations.

As discussed above, fiscal monitoring activities include those activities such as the review of the MPO's Single Audit, reviews of MPO invoices & supporting documentation, and reviews of timekeeping and accounting systems that the MPO utilizes.

The MPO Agreement describes the federal single audit requirements that MPOs must operate under, which are established in **2 CFR §200 Subpart F – Audit Requirements**. 2 CFR §200.501 establishes that all non-Federal entities (such as MPOs) that expend **\$750,000 or more** of federal grant funds in a fiscal year must undergo a single audit. In the event an

MPO does not expend \$750,000 of federal awards in a fiscal year, the MPO must provide a single audit exemption to the Department at FDOTSingleAudit@dot.state.fl.us.

Those MPOs that do undergo a single audit on an annual basis must provide the audit reporting package to the Federal Audit Clearinghouse at <https://harvester.census.gov/facweb> and to FDOT at FDOTSingleAudit@dot.state.fl.us. This must be provided no later than nine months after the end of the audit period.

Following receipt of the single audit at the Department, the Office of Comptroller will review the single audit and communicate any relevant findings or auditor's disclosures to the Statewide MPO Coordinator, who will then communicate these to the MPO Liaison, for inclusion in their contract file and incorporation into their monitoring activities. The Office of Comptroller has established an internal database for storage and review of all single audits received by the Department, which may be accessed by the MPO Liaisons as needed; this database, called the Single Audit Reporting Application (SARA), can be found at <http://fdotwp2.dot.state.fl.us/SingleAuditReportingApplication/>. Again, this is an *internal* web application, only available to those on the FDOT network.

Effective July 1, 2016 with the implementation of the new MPO Agreement, the FDOT is formalizing the MPO invoicing process across the state. One of the changes to the invoicing process is the fact that the supporting documentation for the expenses incurred during the invoice period may not necessarily need to be submitted and reviewed at the time of invoice. Rather, **the review of this documentation will occur on a frequency determined by the MPO's risk level**. As stated, FDOT Central Office will determine the minimum risk level of each of the MPOs, based on the factors described above. This risk level will determine the **minimum frequency** of supporting documentation review to be performed by the FDOT MPO Liaison on the expenses reimbursed to the MPO. The MPO Liaison has the latitude to request the supporting documentation on a more frequent basis if needed.

The frequency of the supporting documentation review will occur on the following scale:

Risk Level	Minimum Frequency of Supporting Documentation Review
Low	Annually (1 per year)
Moderate	Semiannually (Every 6 months)
Elevated	Triannually (Every 4 months)
High	Quarterly (Every 3 months)

In performing the supporting documentation review, the MPO Liaison must utilize the MPO Liaison Supporting Documentation Review Checklist, which is included in **Appendix F** as well as on the **MPO Agreement & Invoicing webpage**. This checklist provides instruction for identifying reimbursed expenses to be reviewed and for ensuring that the required documentation is available and accurate and that the expenses incurred are allowable. **This review goes above and beyond the review of the invoice, but the invoice should also be reviewed for allowability of expenses.**

The MPO Liaison's supporting documentation review is to be performed on a sample basis, whereby the MPO Liaison would identify one budget line item from the Personnel Services, Consultant Services, and Travel budget categories in the Itemized Expenditure Detail Report as well as five budget line items from the Other Direct Expenses budget category. After identifying the line items to be reviewed, the MPO Liaison shall then request the supporting documentation from the MPO and review it in accordance with the MPO Liaison Supporting Documentation Review Checklist. The completed checklist must be saved in the MPO Liaison's contract file for future reference and documentation.

As stated, the MPO's risk assessment establishes the minimum frequency for the supporting documentation review; the FDOT MPO Liaison may perform this review on a more frequent basis if needed.

If the supporting documentation review reveals unallowable expense(s) that have been reimbursed for, the value of the expense shall be reduced from the subsequent invoice from the MPO. If the review results in the finding that the MPO is not maintaining adequate records for expenses incurred (i.e. they are not able to provide complete and accurate supporting documentation), the District shall work with the Central Office Statewide MPO Coordinator and the MPO to come to a joint resolution of the issue. If no resolution can be reached, the MPO runs the risk of an increased risk level or additional action being taken against a noncompliant MPO.

In addition to the MPO Liaison Supporting Documentation Review, the MPO agreements and the supporting documentation are subject to additional review and audit by FDOT and FHWA/FTA.

3.19.4 RESULTS OF MONITORING ACTIVITIES

Federal regulations provide guidance for pass-through entities whose subrecipients pose a significant level of risk. **2 CFR §200.331(e)** states the following:

“Depending upon the pass-through entity's assessment of risk posed by the subrecipient..., the following monitoring tools may be useful for the pass-through entity to ensure proper accountability and compliance with program requirements and achievement of performance goals:

1. Providing subrecipients with training and technical assistance on program-related matters; and
2. Performing on-site reviews of the subrecipient's program operations;
3. Arranging for agree-upon-procedures engagements as described in §200.424 Audit Services.”

Additionally, 2 CFR §200.331(h) states that pass-through entities shall “consider taking enforcement action against noncompliant subrecipients as described in §200.338 Remedies for noncompliance of this part and in program regulations.” 2 CFR §200.338 provides the following guidance for pass-through entities related to noncompliant subrecipients:

“If a non-Federal entity fails to comply with Federal statutes, regulations or the terms and conditions of a Federal award, the Federal awarding agency or pass-through entity may impose additional conditions, as described in §200.207 Specific conditions. If the Federal awarding agency or pass-through entity determines that noncompliance cannot be remedied by imposing additional conditions, the Federal awarding agency or pass-through entity may take one or more of the following actions, as appropriate in the circumstances:

- (a) Temporarily withhold cash payments pending correction of the deficiency by the non-Federal entity or more severe enforcement action by the Federal awarding agency or pass-through entity.
- (b) Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.
- (c) Wholly or partly suspend or terminate the Federal award.
- (d) Initiate suspension or debarment proceedings as authorized under 2 CFR part 180 and Federal awarding agency regulations (or in the case of a pass-through entity, recommend such a proceeding be initiated by a Federal awarding agency).
- (e) Withhold further Federal awards for the project or program.
- (f) Take other remedies that may be legally available.”

Any concerns or issues that arise from the result of programmatic and fiscal monitoring activities should be shared with the FDOT Central Office Statewide MPO Coordinator. The District and Central Office will work together in consultation with the MPO to determine the appropriate path forward.

Appendix A – UPWP Checklist

MPO: _____	Draft / Final		Date Received
UPWP Check List	Yes	No	Comment
A. COVER AND TITLE PAGE			
Includes CFDA Number?			
Includes Federal Aid Project Number (FAP)?			
Includes FM Number (Work Program)?			
Name of MPO and Funding Agencies?			
The correct fiscal years for the proposed UPWP are listed?			
MPO physical, mailing, and website addresses; phone numbers			
The Final UPWP includes an approved signature or MPO resolution and the date of MPO Board action?			
The Final UPWP includes a Cost Analysis statement signed and dated by the Grant Manager (MPO Liaison)?			
B. TABLE OF CONTENTS			
Introduction			
Organization and Management			
Work Program Task Sheets – includes the following sections:			
• Administration			
• Data Collection			
• Transportation Improvement Program			
• Long Range Transportation Plan			
• Special Project Planning			
• Public Involvement			
Summary Budget – Table 1 Agency Participation (broken out by year)			
Summary Budget – Table 2 Funding Source (broken out by year)			
District Planning Activities			
Joint Certification Package			
Statements and Assurances			
Title VI Nondiscrimination Agreement			
FTA Grant Application (if included in UPWP)			
Each Task is consistent in number, wording, and references page numbers with each respective task sheet			

MPO: _____	Draft / Final		Date Received
UPWP Check List	Yes	No	Comment
C. INTRODUCTION			
Brief definition of the UPWP			
Current overview of the status of comprehensive transportation planning activities			
Discussion of local and regional planning priorities			
Planning tasks to be performed with funds under Title 23 and Title 49 Chapter 53 (Public Transportation)			
A description of the metropolitan transportation and transportation related air quality planning activities (if applicable) anticipated in the non-attainment area regardless of funding sources or agencies conducting air quality activities;			
Discussion of soft match, including a definition and the amount (both as a total and the percent)			
Indirect Cost Rate (if applicable)			
Description of Public Involvement process used in development of UPWP			
Discussion of Planning Emphasis Areas			
D. ORGANIZATION AND MANAGEMENT			
Identification of participants and a brief description of their respective roles in the UPWP metropolitan area planning process			
Discussion of appropriate agreements			
• Standard Interlocal Agreement			
• Metropolitan Planning Organization (MPO) Agreement			
• Joint Participation Agreement – FTA 5303 funds			
• ICAR Agreement			
• Other agreements			
Identification and discussion of operational procedures and bylaws			
E. WORK PROGRAM TASK SHEETS			
Each sheet should describe individual tasks, be in the same format, and include:			
• Task number and title			
• Purpose			
• Previous work completed			
• Required Activities – how task will be performed; who will perform the task			

MPO: _____	Draft / Final		Date Received
UPWP Check List	Yes	No	Comment
• Responsible agency or agencies			
• Proposed funding source(s) – tied into Table 2			
Schedule that adequately describes activities that will take place during the year, including: <ul style="list-style-type: none"> • Schedule of milestones or benchmarks • End product(s) • Estimated completion date(s) 			
Proposed funding source(s) with anticipated costs by fiscal year and by budget line item (<i>an Estimated Budget Detail</i>)			
F. JOINT CERTIFICATION PACKAGE			
Signed certification statement			
Brief description of noteworthy achievements			
Any corrective actions or recommendations			
G. STATEMENTS AND ASSURANCES			
DBE			
Debarment and Suspension			
Lobbying			
Title VI Nondiscrimination Agreement			
H. FTA SECTION 5303 APPLICATION (IF INCLUDED IN UPWP)			
Certain FTA grants – Form 424			
Certain FTA Grants: FTA Certification / Assurances			
Affirmation of Applicant			
Affirmation of Applicant's Attorney			
Budget showing total funds by classifications			
Budget showing FTA funds only by classifications			
I. TABLE 1: AGENCY PARTICIPATION			
Participating agencies identified with funding commitments			
Table includes only those District planning activities scheduled to occur within the MPO Boundaries			
Table shows the amount of funds set aside for work by consultants			
There is one table for Year 1 and one table for Year 2			
J. TABLE 2: FUNDING SOURCE			

MPO: _____	Draft / Final		Date Received
UPWP Check List	Yes	No	Comment
Proposed funding sources and budgeted funds are identified by task and subtask for each appropriate funding source, and are consistent with applicable Task Sheet			
The Department's PL and FTA matching funds are shown separately			
Federal, state, and local contribution levels are provided by task and subtask			
The total amounts shown in each task agree with the amounts shown in Table 1: Agency Participation			
There is one table for Year 1 and one table for Year 2			
K. GENERAL			
The Final UPWP was reviewed and endorsed or approved by the TAC, CAC, and the MPO prior to distribution			
Documentation of the endorsement or approvals (e.g., a MPO Resolution, meeting minutes, letter of authentication) are included			
Tasks or activities to correct or eliminate deficiencies noted in the previous federal and/or state certification reviews are identified in the UPWP			
The annual audit is included as part of the Program Administration Task, and as a separate line item			
Equipment purchases are identified as part of a task			
Equipment rentals and leases are included by tasks			
Matrix that identifies how each task relates to the Planning Emphasis Areas and Planning Factors			

Appendix B – Summary Budget Tables Examples

Table 1 MPO/TPO Agency Funding Participation - FY 20XX/XX								
(MPO/TPO Name)	FHWA	FTA	FDOT		Local Match	CTD	Total (minus soft match)	Amount to Consultant
			Soft Match	Cash Match				
A.1 MPO/TPO Administration	\$83,500	\$0	\$16,700	\$0	\$0	\$0	\$83,500	\$0
A.2 Unified Planning Work Program (UPWP)	\$18,000	\$0	\$3,600	\$0	\$0	\$0	\$18,000	\$0
A.3 Public Involvement	\$50,000	\$0	\$10,000	\$0	\$0	\$0	\$50,000	\$0
A.4 Regional Planning	\$22,000	\$0	\$4,400	\$0	\$0	\$0	\$22,000	\$0
A.5 Capital Purchases	\$15,000	\$0	\$3,000	\$0	\$0	\$0	\$15,000	\$0
A.6 Travel	\$11,500	\$0	\$2,300	\$0	\$0	\$0	\$11,500	\$0
B.1 Socioeconomic & Land Use Data	\$30,000	\$0	\$6,000	\$0	\$0	\$0	\$30,000	\$20,000
B.2 Transportation Data	\$65,000	\$10,000	\$13,000	\$1,000	\$1,000	\$0	\$77,000	\$45,000
B.3 ETDM	\$43,500	\$0	\$8,700	\$0	\$0	\$0	\$43,500	\$23,500
C.1 Transportation Improvement Program (TIP)	\$15,000	\$5,000	\$3,000	\$500	\$500	\$0	\$21,000	\$5,000
C.2 Long Range Transportation Plan (LRTP)	\$28,500	\$0	\$5,700	\$0	\$0	\$0	\$28,500	\$20,000
C.3 Traffic Ops + Freight	\$15,000	\$0	\$3,000	\$0	\$0	\$0	\$15,000	\$0
C.4 CMS + ITS	\$20,000	\$0	\$4,000	\$0	\$0	\$0	\$20,000	\$0
C.5 Public Transportation	\$65,000	\$66,487	\$13,000	\$6,648.7	\$6,648.7	\$0	\$144,784	\$0
C.6 Bike/Ped Planning	\$28,500	\$0	\$5,700	\$0	\$0	\$0	\$28,500	\$10,000
C.7 Transportation Disadvantaged Planning	\$0	\$0	\$0	\$0	\$0	\$39,224	\$39,224	\$0
D.1 Corridor Planning & Preservation	\$100,000	\$0	\$20,000	\$0	\$0	\$0	\$100,000	\$50,000
TOTALS:	\$610,500	\$81,487	\$122,100	\$8,149	\$8,149	\$39,224	\$747,509	\$173,500

*FDOT non-cash match

Table 2 MPO/TPO Funding Sources by Task - FY 20XX/XX

(MPO/TPO Name)	FHWA		FTA 5303	FDOT		Local Match	CTD	Total (minus soft match)
	PL	SU		Soft Match*	Cash Match			
A.1 TPO Administration	\$83,500	\$0	\$0	\$16,700	\$0	\$0	\$0	\$83,500
A.2 UPWP	\$18,000	\$0	\$0	\$3,600	\$0	\$0	\$0	\$18,000
A.3 Public Involvement	\$50,000	\$0	\$0	\$10,000	\$0	\$0	\$0	\$50,000
A.4 Regional Planning	\$22,000	\$0	\$0	\$4,400	\$0	\$0	\$0	\$22,000
A.5 Capital Purchase	\$15,000	\$0	\$0	\$3,000	\$0	\$0	\$0	\$15,000
A.6 Travel	\$11,500	\$0	\$0	\$2,300	\$0	\$0	\$0	\$11,500
B.1 Socioeconomic & Land Use Data	\$15,000	\$15,000	\$0	\$6,000	\$0	\$0	\$0	\$30,000
B.2 Transportation Data	\$45,000	\$20,000	\$10,000	\$13,000	\$1,000	\$1,000	\$0	\$77,000
B.3 ETDM	\$33,500	\$10,000	\$0	\$8,700	\$0	\$0	\$0	\$43,500
C.1 Transportation Improvement Program (TIP)	\$10,000	\$5,000	\$5,000	\$3,000	\$500	\$500	\$0	\$21,000
C.2 Long Range Transportation Plan (LRTP)	\$8,500	\$20,000	\$0	\$5,700	\$0	\$0	\$0	\$28,500
C.3 Traffic Ops + Freight	\$15,000	\$0	\$0	\$3,000	\$0	\$0	\$0	\$15,000
C.4 CMS + ITS	\$20,000	\$0	\$0	\$4,000	\$0	\$0	\$0	\$20,000
C.5 Public Transportation	\$65,000	\$0	\$66,487	\$13,000	\$6,648.7	\$6,648.7	\$0	\$144,784
C.6 Bike/Ped Planning	\$20,500	\$8,000	\$0	\$5,700	\$0	\$0	\$0	\$28,500
C.7 Transportation Disadvantaged Planning	\$0	\$0	\$0	\$0	\$0	\$0	\$39,224	\$39,224
D.1 Corridor Planning & Preservation	\$75,000	\$25,000	\$0	\$20,000	\$0	\$0	\$0	\$100,000
TOTALS:	\$507,500	\$103,000	\$81,487	\$122,100	\$8,149	\$8,149	\$39,224	\$747,509

*FDOT non-cash match

Appendix C – Close-Out Letter & Confirmation Form

SAMPLE OF A PL FUNDS CLOSE-OUT LETTER

(Date)

(Name of MPO Staff Director)

(MPO Name)

(Address of MPO)

RE: Confirmation of Final Invoice and Reimbursements

MPO Name:

Federal Aid Number: XXXX

FM No.: XXXXXXXX

Contract No. XXXXX FY XX/XX to XX/XX

Dear ____:

The Department desires to close out our financial records for PL funds for the State Fiscal Year ending June 30, 20__. This will allow us to submit a final voucher to the Federal Highway Administration for reimbursement to the (name of MPO).

In order to do this, the Department needs confirmation that the final invoice has been submitted and that our records reflect the correct amount of reimbursements for the (name of MPO) 2-Year UPWP covering Fiscal Years 20xx/xx to 20xx/xx.

Please complete the enclosed confirmation form and return it to me for further processing.

Sincerely,

Name of Planning Manager or MPO Liaison

SAMPLE OF A PL FUNDS CLOSE-OUT CONFIRMATION FORM

(Date)

To: Florida Department of Transportation
District __ Planning Office

Attention: Name of Project Manager

From: MPO Staff Director

Subject: PL-XXXX (xx)
MPO Name

Our records disclose that the final invoice has been submitted for PL Funds for the fiscal years listed below.

Fiscal Years 20xx/xx to 20xx/xx

<u>FM Number</u>	<u>Authorization</u>	<u>Reimbursement</u>	<u>Balance</u>
XXXXXX-X	\$	\$	\$

Appendix D – Example MPO Invoice

Metropolitan Planning Organization		1234 Main Street Parkway East Your Town, Florida 32399-0004	Tel (777) 555-1212 Fax (777) 555-2121
---	--	--	--

Bill To: Florida Department of Transportation Office of Policy Planning 605 Suwannee Street Tallahassee, FL 32399-0450 Tel: (850) 414-4900 Fax: (850) 414-4876 Email: Planning@dot.state.fl.us	Invoice No.: FHWA-Gxxxx Invoice Period: 10/01/2016 - 12/31/2016 Contract No.: GXXXX Amendment No.: 1 Modification No.: 3	Invoice Amounts by Financial Project Number <table border="0" style="width: 100%;"> <tr> <td style="width: 60%;">425668-1-14-01:</td> <td style="text-align: right;">448,043.84</td> </tr> <tr> <td>425668-1-14-02:</td> <td style="text-align: right;">253,753.05</td> </tr> <tr> <td>425668-1-14-03:</td> <td style="text-align: right;">43,753.05</td> </tr> <tr> <td>Total Invoice Amount:</td> <td style="text-align: right;">\$ 745,549.94</td> </tr> </table>	425668-1-14-01:	448,043.84	425668-1-14-02:	253,753.05	425668-1-14-03:	43,753.05	Total Invoice Amount:	\$ 745,549.94
425668-1-14-01:	448,043.84									
425668-1-14-02:	253,753.05									
425668-1-14-03:	43,753.05									
Total Invoice Amount:	\$ 745,549.94									

2016/2017 Unified Planning Work Program Task	FHWA (PL) Current Cost	FHWA (SU) Current Cost	FHWA (WISE) Current Cost	FHWA Current Amount Due	Total Previous Payments	Total FHWA Budget Amount	FHWA Remaining Balance
Task 100 - General Office Management	17,805.83	-	-	17,805.83	18,602.56	71,223.31	34,814.92
Task 110 - UPWP & Financial Management	20,514.98	-	-	20,514.98	19,512.63	82,059.91	42,032.30
Task 120 - Certification	1,957.88	-	-	1,957.88	800.77	7,831.53	5,072.88
Task 130 - Board & Committee Support	25,427.98	-	-	25,427.98	22,654.32	101,711.93	53,629.63
Task 140 - Legal & Legislative Services	-	-	-	-	-	-	-
Task 150 - Local Match For Program Administration	-	-	-	-	-	-	-
Task 200 - System Monitoring	31,663.41	-	-	31,663.41	33,412.85	126,653.65	61,577.39
Task 210 - Transit System Monitoring	-	-	-	-	-	-	-
Task 220 - Land Use Monitoring	1,125.91	-	-	1,125.91	999.65	4,503.66	2,378.10
Task 300 - Transportation Improvement Program	9,232.52	-	-	9,232.52	7,541.26	36,930.09	20,156.31
Task 400 - Long-Range Transportation Plan	25,893.19	-	-	25,893.19	23,158.95	103,572.76	54,520.62
Task 500 - Special Project Planning	68,750.00	-	-	68,750.00	67,520.25	275,000.00	138,729.75
Task 600 - Intergovernmental & Interagency Studies	7,325.31	-	-	7,325.31	4,500.12	29,301.26	17,475.83
Task 610 - Interregional Transportation Planning & Coordination	-	-	-	-	-	-	-
Task 620 - Intermodal Planning	-	-	-	-	-	-	-
Task 700 - Community Outreach	26,863.30	-	-	26,863.30	28,514.57	107,453.19	52,075.32
Task 800 - Land Use Planning	48,535.06	-	-	48,535.06	47,001.52	194,140.25	98,603.67
Task 810 - Transit Planning	-	-	-	-	-	-	-
Task 820 - Transportation Systems Management & Operations	86,358.62	66,253.05	43,753.05	196,364.72	165,212.32	785,454.00	423,876.96
Task 821 - Traffic Signal Retiming	-	187,500.00	-	187,500.00	175,000.62	750,000.00	387,499.38
Task 830 - Goods Movement Planning	1,993.46	-	-	1,993.46	1,994.25	7,973.84	3,986.13
Task 840 - Smart Growth Planning	40,153.79	-	-	40,153.79	41,252.02	160,615.16	79,209.35
Task 850 - Transportation Disadvantaged Planning	-	-	-	-	-	-	-
Task 860 - Air Quality Planning	2,766.81	-	-	2,766.81	1,959.47	11,067.26	6,340.98
Task 870 - Bicycle & Pedestrian Planning	26,912.31	-	-	26,912.31	25,656.15	107,649.24	55,080.78
Task 880 - Highway Planning	4,763.48	-	-	4,763.48	5,015.63	19,053.93	9,274.82
Totals:	\$ 448,043.84	\$ 253,753.05	\$ 43,753.05	\$ 745,549.94	\$ 690,309.91	\$ 2,982,194.97	\$ 1,546,335.12

Request for Payment Certification as Required by 2 CFR 200.415:
 By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)

Supporting Documentation is on file at: ☐ MPO ☐ District

(MPO) Authorized Official Signature: _____ Date: _____

Printed Name: _____

*Editable template available on the MPO Agreement & Invoicing webpage.

Appendix E – MPO Liaison Invoice Review Checklist

Reviewer Name		Date	
Reviewer Title			

Overall Invoice Package Review – *this review is to be performed on each invoice submitted.*

Contract No.		MPO	
Amendment No.		Invoice No.	
Modification No.		Invoice Period	

	Criteria	Yes/No	Comments
	Does the Invoice Package include the Invoice, Itemized Expenditure Detail Report and Progress Report?		
	Do the service periods of the Itemized Expenditure Detail Report and the Progress Report match the service period of the Invoice?		
	Verify the Total FHWA Previous Payments and FHWA Remaining Balance amounts for each task on the invoice.		
	Does the Total FHWA Current Amount Due for each task on the Invoice match the total current expenses on the Itemized Expenditure Detail Report?		
	Does the Total FHWA Budget Amount for each task on the Invoice match the total current FHWA budgeted amount in UPWP?		
	Review the Expenditure Detail Report for questionable line item expenses. List questionable expenses in "Comments" and follow-up with the MPO.		
	Verify the budget line items on the Itemized Expenditure Report have not exceeded the Estimated Budget Detail line item budget amounts for each task in the UPWP.		
	Does the progress report evidence meeting minimum performance standards?		
	Request for Payment Certification as required by 2 CFR 200.415 is signed by MPO Authorized Official.		
	Invoice Package and signed Contract Summary Form Number 350-060-02 submitted to District FSO.		Date Submitted:

If the answer is "No" to any of the above questions, or if any questionable line items exist in the Expenditure Report, the invoice must be returned to the MPO for clarification and correction.

*Fillable form available on the [MPO Agreement & Invoicing webpage](#).

Appendix F – MPO Liaison Supporting Documentation Review Checklist

Reviewer Name		Date	
Reviewer Title			

Supporting Documentation Review – the frequency of this review is contingent upon risk assessment. Sampling should include one budget line item from each budget category with the exception of Other Direct Expenses. At least five Other Direct Expenses should be reviewed.

Contract No.		MPO	
Amendment No.		Review Period	
Modification No.			

Personnel Services: Review the entire payroll register and compare to expense being reimbursed. Select one timesheet for a position being reimbursed. Confirm time charged by the task and the invoice period.

Identify the invoice and timesheet selected for review:

Invoice No.		Timesheet Selected for Review
Invoice Period		

	Criteria	Yes/No	Comments
	Does payroll register match the expense being reimbursed?		
	Does the timesheet match the expense being reimbursed?		
	Is the timesheet signed by an MPO authorized official?		

Consultant Services: Select and review one invoice from management/consulting firm that shows consultant fees.

Identify the MPO invoice and consultant invoice selected for review:

Invoice No.		Consultant Invoice Selected for Review
Invoice Period		

	Criteria	Yes/No	Comments
	Are task services documented in the progress report?		
	Is there evidence payment was made (ex: "Paid with check number")?		

Travel: Identify and gather the appropriate travel regulations and policies in place at the MPO, including rate(s) and methods if different from the state. Select and review one travel reimbursement.

Identify the invoice and travel reimbursement selected for review:

Invoice No.		Travel Reimbursement Selected for Review
Invoice Period		

Travel (cont.)	Criteria	Yes/No	Comments
	Does the travel reimbursement, including rate(s) and method, comply with MPO policies, 2 CFR §200.474 and 112.061, F.S.?		
	Is the required FDOT Contractor Travel Form Number 300-000-06 used to document travel?		
	Does the travel documentation reflect the appropriate authorizations?		
	Are charges supported by receipts?		
	Are receipts dated during the period of travel?		

Other Direct Expenses: Select and review five Other Direct Expense line item reimbursements for review.

Identify the invoice and Other Direct Expense line items selected for review:

Invoice No(s).	Other Direct Expense Line Items Selected for Review
Invoice Period(s)	1. 2. 3. 4. 5.

	Criteria – For Each Line Item Selected:	Yes/No	Comments
	Is there an itemized receipt showing date of purchase, name of vendor/store, amount paid, description of goods purchased, and evidence payment was made (ex: "Paid" with check number)?		
	Is the date of purchase within the invoice period?		
	If it is an equipment purchase over \$5,000, is there documented pre-approval by FHWA?		
	Are the expenses allowable?		

Indirect Rate: Identify and gather the MPOs indirect rate documentation, if applicable. Review the approved Indirect Cost Plan/Cost Allocation Plan.

Identify the invoice selected for review:

Invoice No.	Indirect Rate
Invoice Period	

	Criteria	Yes/No	Comments
	Does the Indirect Cost Rate and calculation agree with amount invoiced/reimbursed?		

If the answer is "No" to any of the above questions and the MPO is unable to provide correction or clarification, any unallowable or unsupported expenses reimbursed to the MPO may be deducted from the next invoice. See Chapter 3 of the MPO Program Management Handbook for more information.